
June 27, 2003



Information Technology Management

Defense Civilian Personnel Data
System Functionality and User
Satisfaction
(D-2003-110)

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Acronyms

AutoRIF	Automated Reduction-in-Force
CATS	Complaints Action Tracking System
COREDOC	Core Documents
CPMS	Civilian Personnel Management Service
DCPDS	Defense Civilian Personnel Data System
EOPF	Electronic Official Personnel Folder
HR	Human Resources
ORD	Operational Requirements Document
OTA	Oracle Training Administration



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June 27, 2003

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Report on Defense Civilian Personnel Data System Functionality and User Satisfaction (Report No. D-2003-110)

We are providing this report for review and comment. The Defense Finance and Accounting Service did not respond to the draft report. The Deputy Under Secretary of Defense (Civilian Personnel Policy), the Army, the Navy, the Air Force, the National Guard Bureau, the Defense Commissary Agency, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services responded to the draft report. We considered their comments when preparing the final report.

DoD Directive 7650.3 requires that all issues be resolved promptly. Comments from the Air Force, the National Guard Bureau, and the Defense Commissary Agency were fully responsive to Recommendation 3, and no further comments are required. We request that the Deputy Under Secretary, the Army, the Navy, and the other Defense organizations provide additional comments as indicated in Table 4 (page 29) by August 27, 2003.

If possible, please send management comments in electronic format (Adobe Acrobat file only) to AUDLS@dodig.osd.mil. Copies of the management comments must contain the actual signature of the authorizing official. We cannot accept the / Signed / symbol in place of the actual signature. If you arrange to send classified comments electronically, they must be sent over the SECRET Internet Protocol Router Network (SIPRNET).

We appreciate the courtesies extended to the staff. Questions should be directed to Mr. Michael A. Joseph at (757) 872-4815, ext. 223, or Ms. Betsy Brilliant at (703) 604-8875 (DSN 664-8875). See Appendix D for the report distribution. The team members are listed inside the back cover.

David K. Steensma
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Deputy Assistant Inspector General
for Auditing

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Office of the Inspector General of the Department of Defense

Report No. D-2003-110

(Project No. D2001LF-0142.001)

June 27, 2003

Defense Civilian Personnel Data System Functionality and User Satisfaction

Executive Summary

Who Should Read This Report and Why? Civilian personnel policy makers, personnel managers, human resources personnel responsible for processing civilian personnel actions, and the users of their services will be interested in this report. The report provides information regarding the Defense Civilian Personnel Data System (DCPDS) used to process civilian personnel actions.

Background. DCPDS is the DoD human resources information system designed to support civilian personnel operations. The Oracle Federal Human Resources application is the major module in the system, replacing numerous personnel systems used across DoD. The system was designed to capitalize on new technology to improve and simplify the processing of personnel actions. Deployment of the system began in October 1999 and was completed on September 27, 2002. The system provides human resources services to 22 regional service centers or regional equivalents, 302 customer support units, and approximately 730,000 civilian employees.

The Civilian Personnel Management Service has the responsibility for functional and technical oversight of the system, including deployment, maintenance, and enhancements. It contracted with Lockheed Martin Systems Integration for system support, software maintenance, and operation of a user help desk 24 hours a day, 7 days a week. Civilian Personnel Management Service costs for the system from FY 1995 through FY 2002 were more than \$150 million.

Results. DoD achieved standardization of basic civilian personnel processing and reduced its personnel staffing levels by implementing regionalization and modernizing its systems. However, the Military Departments, the National Guard Bureau, and Defense organizations did not fully use the capabilities of DCPDS and most added or planned to add nonstandard applications to the system to support their business practices. DCPDS users also had to perform numerous workarounds and received frequent software patches to make the system work. As a result, DoD did not fully achieve its desired goals for system standardization and for increased performance efficiencies through the implementation of DCPDS. Issuance of policy that clearly outlines the roles and responsibilities of the Civilian Personnel Management Service and the DCPDS users, in coordination with a comprehensive systems improvement plan, including a user survey, should improve the functionality of the system, reduce reliance on nonstandard applications, increase system standardization, and improve productivity. (See the Finding section of the report for the detailed recommendations.)

Management Actions Taken. To better manage the proliferation of nonstandard applications in use or planned, the Civilian Personnel Management Service established

the Systems Innovation Subcommittee to review all nonstandard applications and determine which should be considered for DoD-wide implementation. For example, in February 2003, the Civilian Personnel Management Service awarded a contract for an electronic official personnel folder application for DoD-wide implementation. To provide information on processing personnel actions, workarounds, and software patches, the Army Civilian Personnel Operations Center Management Agency developed an Internet site that provides excellent information for all users of the system, worldwide.

Management Comments and Audit Response. The Deputy Under Secretary of Defense (Civilian Personnel Policy) partially concurred with the finding and recommendations. The Deputy Under Secretary did not agree that the nonstandard applications were developed because of inadequacies in DCPDS and further stated that resistance by the users to standard business processes gave rise to the difficulties in achieving standardization. The Deputy Under Secretary disagreed that CPMS did not have clear authority to require the use of the DCPDS modules and manage the nonstandard applications, but concurred with the recommendations to issue policy outlining roles and responsibilities and clearly define DCPDS capabilities. Although the Deputy Under Secretary did not concur with the recommendation concerning the systems improvement plan, which included conducting a survey of all DCPDS users, such a survey was conducted in March and April 2003.

The Army concurred and stated that all Army nonstandard applications have been or will be submitted for approval. The Navy provided information concerning its use of one of the modules in the DCPDS software suite and outlined its concerns with the training module and the interface of DCPDS with the Navy Marine Corps Intranet; however, it did not address the finding or the recommendations. The Air Force concurred with the finding and recommendations, requesting user involvement in the development of the policy and the systems improvement plan. The Air Force indicated that its business practices may be modified once the system deficiencies are corrected and other system improvements are accomplished. The National Guard Bureau provided additional information regarding its use of two of the modules in the DCPDS suite and stated that the electronic official personnel folder was no longer a nonstandard application. The Defense Commissary Agency concurred, agreeing to revise its business practices after the software problems have been corrected and critical deficiencies addressed. The Defense Commissary Agency also provided additional information regarding its use of one of the modules in DCPDS. The Defense Logistics Agency concurred with the finding but did not address the recommendations. The Department of Defense Education Activity and Washington Headquarters Services provided comments for suggested wording changes in the report, but did not address the recommendations. The Defense Finance and Accounting Service did not respond to the draft report. See the Finding section of the report for a discussion of management comments and the Management Comments section of the report for the complete text of the comments.

The Air Force, the National Guard Bureau, and the Defense Commissary Agency comments are fully responsive and additional comments are not required. We request that the Deputy Under Secretary of Defense (Civilian Personnel Policy) reconsider and provide additional comments regarding the recommendation to develop a systems improvement plan. We also request that the Army; the Navy; and the Directors of the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services provide comments on the final report. We request that comments on the final report recommendations, as indicated in Table 4 (page 29), be provided by August 27, 2003.

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Background

Defense Civilian Personnel Data System. The Defense Civilian Personnel Data System (DCPDS) is the DoD human resources (HR) information system designed to support civilian personnel operations. The development of DCPDS was directed in Program Budget Decision 711, “Corporate Information Management Initiatives,” December 5, 1994. The major module in the DCPDS suite is Oracle Federal HR, a commercial off-the-shelf software application, which has been augmented to support DoD. DCPDS replaced numerous personnel systems used across DoD, including a previous version of DCPDS, known as the legacy system.¹ DCPDS was designed to capitalize on new technology to improve and simplify the processing of personnel actions, the retrieval of civilian workforce information, and the delivery of personnel services.

In addition to the Oracle Federal HR module, which performs basic personnel transaction processing, there are five modules in the DCPDS suite—Automated Reduction-in-Force (AutoRIF), Complaints Action Tracking System (CATS), Core Documents (COREDOC), Oracle Training Administration (OTA), and Resumix. A brief description of the six modules composing DCPDS is at Appendix B.

Deployment of DCPDS began in October 1999 to the first three sites for operational testing and evaluation. Full deployment was completed on September 27, 2002, when the final three sites were implemented. DCPDS provides HR services for approximately 730,000 civilian employees.

Civilian Personnel Management Service. The Civilian Personnel Management Service (CPMS), an organization under the Deputy Under Secretary of Defense (Civilian Personnel Policy), Office of the Under Secretary of Defense for Personnel and Readiness, has the responsibility for functional and technical oversight of DCPDS. It oversees the deployment, maintenance, and enhancement of DCPDS. Further, CPMS is responsible for developing the users guide and training for the initial system and any major system upgrades. CPMS contracted with Lockheed Martin Systems Integration (Lockheed Martin) for system support, software maintenance, and operation of a user help desk 24 hours a day, 7 days a week.

HR Regionalization. DCPDS was implemented to support the regionalization of civilian personnel operations. In a November 10, 1993, Program Decision Memorandum, DoD established the requirement for regionalization and set the goal for decreasing HR staffing in comparison with the civilian population serviced. Under regionalization, the stand-alone, full-service personnel offices were replaced with regional service centers and customer support units. The regional service centers primarily perform the routine HR processes that can be centralized, while the decentralized customer support units handle face-to-face resolution of HR issues.

¹The current DCPDS was previously referred to as modern DCPDS. However, after full deployment was completed, the legacy system was decommissioned and the prefix “modern” was no longer needed to differentiate the two versions.

Component Users. There are 22 regional service centers or regional equivalents² operated by 9 Component users of DCPDS—the Army, the Navy, the Air Force, the National Guard Bureau, the Defense Commissary Agency, the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services (the Components). Each Component has one regional service center except the Army, which has eight, and the Navy, which has seven. In addition, DCPDS is at 302 customer support units, and approximately 53,000 users³ at Defense organizations⁴ worldwide have access to the system. Each of the Components provides civilian personnel services to its own organization and, in some cases, to other Defense organizations, such as the Defense Information Systems Agency and the Office of the Inspector General of the Department of Defense.

Costs for Modernization and Regionalization. CPMS costs for DCPDS from FY 1995 through FY 2002 were more than \$150 million. CPMS has requested an average of \$46 million per year for maintenance and upgrades to DCPDS for FY 2003 through FY 2006. However, the National Defense Appropriations Act for FY 2003 reduced the DCPDS budget by \$20 million. In addition to CPMS costs, the Components spent about \$270 million to implement regionalization and support system modernization between FY 1995 and FY 2000.

Objectives

Our overall audit objective was to determine the functionality of DCPDS and user satisfaction with the system. We also reviewed the adequacy of the management control program as it related to the overall objective. See Appendix A for a discussion of the scope and methodology, our review of the management control program, and prior coverage related to the objectives.

²Regional equivalents are large, consolidated personnel offices that are not officially recognized as regional service centers.

³Users include personnel specialists at the regional service centers and customer support units and the administrative and managerial personnel responsible for initiating personnel actions.

⁴The Defense intelligence agencies do not use DCPDS.

DCPDS Functionality and Performance

DoD achieved standardization of basic civilian personnel processing and reduced its HR personnel staffing levels by implementing regionalization and modernizing its systems. However, the Components did not fully use the capabilities of DCPDS and most added or planned to add nonstandard applications to the system to support Component business practices. The Components also had to perform numerous workarounds⁵ and received frequent software patches⁶ to make the system work. Some of the nonstandard applications were developed and workarounds and software patches were needed because DCPDS was deployed before it could efficiently perform all the functions specified in its operational requirements document (ORD). In addition, the Components often did not modify their business practices to accommodate the system, choosing instead to use nonstandard applications, some of which were partially duplicative of DCPDS capabilities. Further, CPMS did not have clear authority to require the Components to use all of the modules of DCPDS and did not have clear authority to manage the development and implementation of nonstandard applications. As a result, DoD did not fully achieve its desired goals for system standardization and for increased performance efficiencies through the implementation of DCPDS.

DCPDS

System Design. DCPDS uses a relational database and operates on client-server architecture with regional databases rather than a centralized mainframe. In addition, DCPDS uses a standard Windows format with point-and-click maneuvering, drop-down menus, and plain English text instead of the numerous data identification numbers⁷ that were used in the legacy system.

The commercial off-the-shelf Oracle Federal HR application was augmented by DoD to support additional DoD civilian personnel requirements, including personnel processing for overseas local national⁸ and nonappropriated fund employees. CPMS reported there are 11 unique local national applications supporting requirements for 17 countries. In addition, CPMS stated the system supports 12 demonstration projects concerning civilian employee pay and benefits, such as pay banding. In addition to general civilian personnel processing requirements, the system must support a wide range of civilian personnel, including National Guard personnel, teachers, lawyers, and civilian mariners.

⁵A workaround is a temporary procedure employed by the user to bypass or avoid a nonworking system feature.

⁶Patches are periodic releases for updating and correcting system software.

⁷Data identification numbers were the codes used in the legacy system to identify data fields.

⁸Local national employees are non-U.S. citizens employed by DoD at overseas locations.

System Maintenance. Maintenance of the system is a shared responsibility. Lockheed Martin is responsible for maintaining the customized portions of the CATS, Oracle Federal HR, OTA, and Resumix modules. Oracle Corporation is responsible for maintaining the basic application for the first three modules. Yahoo Corporation maintains the basic application for Resumix. The two remaining modules, AutoRIF and COREDOC, are custom applications within DCPDS for which Lockheed Martin has complete upgrade and maintenance responsibility.

Upgrading the System. CPMS and Lockheed Martin are working on the migration of the DCPDS application software from Oracle Federal HR version 10.7 to version 11i. That migration will transform the DCPDS application from a client-server based application to a Web-based computing environment, in which users will access DCPDS via a standard Web browser, such as Internet Explorer or Netscape Navigator. The upgrade is important to DoD because it takes advantage of Internet technology and improves navigation within the system. For example, Oracle Federal HR version 11i will allow the Navy to incorporate DCPDS into its Navy Marine Corps Intranet.⁹ CPMS postponed upgrading the system until full deployment of DCPDS had been achieved. CPMS plans to upgrade the system in July 2003.

Component Use of DCPDS

DoD achieved standardization for basic civilian personnel processing and reduced its HR personnel staffing levels by implementing regionalization and modernizing its systems. However, the Components did not fully use the capabilities of DCPDS and most added or planned to add nonstandard applications to the system to support Component business practices.

Use of DCPDS Modules. Of the six modules in DCPDS, no Component had implemented all six modules and only one module, Oracle Federal HR, was used by all nine Components. Components indicated they were not using some modules because the modules were not working correctly or did not adequately support the Component's business practices. Table 1 summarizes Component use of DCPDS modules.

⁹Navy Marine Corps Intranet is a long-term initiative of the Department of the Navy and the private sector to deliver a single integrated and coherent Department-wide network for the Navy and the Marine Corps.

Table 1. Component Use of DCPDS Modules						
<u>Component</u>	Oracle Federal <u>HR</u>	<u>AutoRIF</u>	<u>CATS</u>	<u>COREDOC</u>	<u>OTA</u>	<u>Resumix</u>
Army	Yes	Yes	No ¹	Yes ^{2,3}	Yes ²	Yes
Navy	Yes	Yes	No	Yes ²	No ⁴	Yes
Air Force	Yes	Yes	No	No	No	Yes ³
National Guard Bureau	Yes	No ⁵	No ¹	No	No ⁶	No
Defense Commissary Agency	Yes	Yes	No	No	Yes ²	No
Defense Finance and Accounting Service	Yes	Yes	Yes	No	No	Yes ³
Defense Logistics Agency	Yes	Yes	No ¹	Yes ²	No	Yes ^{2,3}
Department of Defense Education Activity	Yes	No ⁵	No	Yes ²	No	No
Washington Headquarters Services	Yes	Yes	No	Yes ²	Yes ²	Yes
¹ Module will be implemented after completion of Component-required actions.						
² Module had been implemented but was used in a limited capacity.						
³ Module had been implemented but was enhanced by the Component with nonstandard applications.						
⁴ Module will be implemented after software errors in the module are corrected.						
⁵ Module may be used in the future if it meets Component needs.						
⁶ Module implementation is included in long-range planning.						

AutoRIF. AutoRIF was used by seven of the nine Components. National Guard Bureau officials conducted an evaluation of the AutoRIF module and determined that the specialized reduction-in-force procedures needed for the National Guard technicians made the module impractical. If the module is modified to meet Bureau needs, use of the application may be reassessed. The other nonuser of the module, the Department of Defense Education Activity, plans to evaluate AutoRIF in a live situation before making a final decision on using the module in the event of a staff reduction.

CATS. The CATS module was used by only one of the nine Components—the Defense Finance and Accounting Service. Representatives at three other Components (the Army, the National Guard Bureau, and the Defense Logistics Agency) stated they would implement CATS after completion of internal actions. The Army is training its equal employment opportunity personnel before implementing CATS. The National Guard Bureau indicated it had to develop in-house documentation before CATS could be implemented. The Defense Logistics Agency indicated that an access security issue needed to be resolved before CATS could be implemented. The remaining five Components

had chosen alternative methods or systems to satisfy the requirement for tracking equal employment opportunity complaints.

COREDOC. Of the nine Components, five Components were using COREDOC. Those Components—the Army, the Navy, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services—used the module in a limited capacity. The Army had also enhanced the module with a nonstandard application. The remaining four Components were using alternative methods for the staffing and classification process.

OTA. Only three components, the Army, the Defense Commissary Agency, and Washington Headquarters Services, used OTA, and that use was limited. The Defense Commissary Agency implemented the module in June 2003. Two other Components, the Navy and the National Guard Bureau, delayed implementation. The Navy deferred implementing the module until software errors in the application are corrected. The National Guard Bureau included OTA implementation in its long-range planning. The remaining four Components stated that they do not use OTA for their training administration.

Resumix. Of the nine Components, six used Resumix and three did not. The Defense Commissary Agency and the Department of Defense Education Activity did not use the module because it did not meet their business practices or functional requirements for recruiting and hiring grocery clerks or teachers. The National Guard Bureau did not use Resumix because it did not meet their business practices or functional requirements for recruiting or hiring National Guard personnel. In addition, the three Components not using Resumix stated that cost was also a factor in their decision not to use the module. Of the six Components using Resumix, three (the Air Force, the Defense Finance and Accounting Service, and the Defense Logistics Agency) enhanced the module's capability with their own unique software. In addition, the Defense Logistics Agency used the module in a limited capacity.

Use of Nonstandard Applications. The Components added nonstandard applications to DCPDS to support their business practices. The nonstandard applications were used to either enhance the DCPDS modules (adding a capability that was not in the original design) or provide functionality that was missing or considered inadequate in the DCPDS suite. According to CPMS, DCPDS is capable of processing all personnel actions required by the Office of Personnel Management and the nonstandard applications often duplicate DCPDS functionality. In addition, CPMS personnel stated that the nonstandard applications create additional complexity for system management and maintenance, making patch releases, system upgrades, and DoD enhancements more difficult and expensive.

In early 2002, CPMS requested that each Component provide a list of its nonstandard applications. From that input, CPMS compiled a DoD-wide list of nonstandard applications and formed a working group to determine which, if any,

should be incorporated into the DCPDS suite. The list included 54¹⁰ nonstandard applications identified by 6 of the 9 Components. During visits to the 9 Component program managers, 10 of the 22 regional service centers, and 6 of the 302 customer support units, we identified 14 nonstandard applications being used that were not on the DoD-wide list. Therefore, at least 68 nonstandard applications were in use or planned by the Components. Table 2 summarizes the use of nonstandard applications.

Table 2. Component Use of Nonstandard Applications			
<u>Component</u>	<u>In Use</u>	<u>Planned</u>	<u>Total</u>
Army	11	6	17
Navy	5	9	14
Air Force	15	0	15
National Guard Bureau	0	0	0
Defense Commissary Agency	0	0	0
Defense Finance and Accounting Service	1	0	1
Defense Logistics Agency	3	0	3
Department of Defense Education Activity	9	3	12
Washington Headquarters Services	<u>6</u>	<u>0</u>	<u>6</u>
Total	50	18	68

Army. The Army provided CPMS with a list of 14 nonstandard applications. During our visits to the Army program manager, 3 of the 8 Army regional service centers, and 2 of the 108 Army customer support units, we identified 3 additional nonstandard applications. Of the 17 total applications, 11 were fully or partially in use and 6 were in a development or concept phase.

Applications in Use. Of the 11 nonstandard applications in use by the Army, 7 are enhancements to DCPDS and 4 provide functionality not available in the system. Of the seven enhancements, three provide users with the ability to download data from DCPDS to make cost and workforce projections, two are database applications that provide easy access to employee contact and historical data, and two provide users with the ability to generate productivity reports at the unit or Army-wide level. The other four nonstandard applications in use provide functionality missing in DCPDS, including a position description library used to simplify the classification process, a capability to perform certain mass updates to employee files, a tool similar to Resumix for local national employees, and a printing tool that allows remote printing of reports.

¹⁰Although the DoD-wide list actually contained 59 nonstandard applications, we considered only 54. The remaining five nonstandard applications involved the electronic official personnel folder application that has become a DoD standard application within DCPDS.

Planned Applications. Of the six planned nonstandard applications, five will be enhancements to DCPDS and one will provide for functionality considered inadequate in DCPDS. Two of the five enhancements are designed to streamline the processing of personnel actions—one for awards and appraisals, the other to support the priority placement program. The remaining three enhancements will include an additional application to measure productivity regarding workload and processing statistics, a database that stores data concerning deployed civilian employees, and a life-cycle management system for centrally funded Army and DoD training programs. The application to provide for functionality considered inadequate in DCPDS will provide users with the capability to correctly compute overseas allowances.

Two of the nonstandard applications under development appear to duplicate functionality. The Army appears to be developing a second application to measure regional service center productivity, and the Army training management application appears to duplicate the functionality that OTA was to provide.

Navy. The Navy provided CPMS with a list of 12 nonstandard applications. During our visits to the Navy program manager, 3 of the 7 Navy regional service centers, and 2 of the 63 Navy customer support units, we identified 2 additional nonstandard applications. Of the 14 total nonstandard applications, 5 were fully or partially in use and 9 were in a development or concept phase.

Applications in Use. Of the five nonstandard applications in use by the Navy, three are enhancements to DCPDS and two provide for functionality the Navy considered inadequate in DCPDS. Two of the three enhancements support the recruitment process: one streamlines the use of Resumix and one provides recruitment metrics reports. The other enhancement provides civilian employees with the ability to update benefits and entitlements using a Web-based system. Of the two applications that provide for functionality considered inadequate in DCPDS, one is used instead of CATS for processing equal employment opportunity complaints and the other is used instead of OTA to support training management.

Planned Applications. Of the nine planned nonstandard applications, seven will be enhancements to DCPDS and two will provide for functionality the Navy considered inadequate in DCPDS. Four of the seven enhancements streamline the use of Resumix.¹¹ The remaining three enhancements include a single portal to access Navy HR systems, an interface to a separate Navy scheduling and reporting system, and a feature that allows civilian employees to complete in-processing documents using a Web-based system. Of the two applications that will provide for functionality considered inadequate in DCPDS, one is for processing equal employment opportunity complaints and the other is for training management. The planned nonstandard applications for processing equal employment opportunity complaints and managing training

¹¹We were informed by the Navy that the initial plans for modifying Resumix have changed but the functional requirements still exist and alternative methods are being pursued.

requirements are different from the nonstandard applications already in use by the Navy.

According to comments on the DoD-wide list, CPMS considers that the Navy application to produce recruitment metrics reports duplicates the productivity reporting function available in Oracle Federal HR and that the Navy training management application duplicates functionality available in OTA. We agree with the CPMS assessment. In addition, it appears that the Navy is developing additional equal employment opportunity and training management applications.

Air Force. The Air Force provided CPMS with a list of 10 nonstandard applications. During our visits to the Air Force program manager, the Air Force regional service center, and 2 of the 94 Air Force customer support units, we identified 5 additional nonstandard applications. All 15 of the nonstandard applications were in use.

Of the 15 nonstandard applications, 11 are enhancements to DCPDS and 4 provide for functionality either missing or considered by the Air Force to be inadequate in DCPDS. Four of the enhancements provide electronic capabilities for civilian employees: two to update entitlements and benefits, one for career program registration, and one to complete in-processing documents. An additional four of the enhancements support the recruitment process: two streamline the use of Resumix, one streamlines job vacancy searches, and one provides an alternative method to rate and rank applicants. Two other enhancements support the Air Force electronic official personnel folder (EOPF) application,¹² which is different from the one selected as the DCPDS standard: one is the actual data file library and the other is an interface that ensures documentation flows from DCPDS into the EOPF. The final enhancement provides DCPDS users with the capability to produce productivity reports. Of the four applications that provide for functionality considered missing or inadequate in DCPDS, one is a position description library used to simplify the classification process, one is used instead of the CATS module for processing equal employment opportunity complaints, and two different applications are used for managing training.

According to comments on the DoD-wide list, CPMS considers that the Air Force nonstandard application providing an alternative method to rate and rank applicants duplicates functionality available in Resumix. We believe that the application partially duplicates Resumix capabilities. The application that generates productivity reports, the application for processing equal employment opportunity complaints, and the two applications for managing training were not included on the Air Force list provided to CPMS and, therefore, CPMS did not comment on those applications. However, based on the CPMS position on similar applications, we believe that CPMS would consider that the applications duplicate functionality provided in Oracle Federal HR, CATS, and OTA, respectively.

National Guard Bureau. The National Guard Bureau did not have any nonstandard applications in use or planned.

¹²The Air Force EOPF application has been operational since October 1996.

Defense Organizations. The Defense organizations provided CPMS with a list of 18 nonstandard applications. During our visits to the five Defense organization program managers and the regional service centers for the Defense Finance and Accounting Service, the Department of Defense Education Activity, and Washington Headquarters Services, we identified four additional nonstandard applications. Of the 22 total nonstandard applications, 19 were fully or partially in use and 3 were in a development or concept phase.

Applications in Use. Of the 19 nonstandard applications in use by the Defense organizations, 14 are enhancements and 5 provide for functionality missing or considered by the Defense organizations to be inadequate in DCPDS. Six of the enhancements streamline the use of Resumix. Four of the enhancements provide the capability to track household goods shipments, teacher appointments and transfers, personnel actions, and benefits. Three of the enhancements provide electronic capabilities for civilian employees: one can be used to update entitlements and benefits, one provides forms for overseas allowances, and the other is a travel voucher system.¹³ The last enhancement provides a database for managers. The five nonstandard applications in use that provide for functionality missing or considered inadequate include a position description library used to simplify the classification process, a system used for processing equal employment opportunity complaints, two tools that provide Resumix-type functionality for teachers, and a training management application.

Planned Applications. Of the three planned nonstandard applications, all are considered by the Defense organizations to be enhancements to DCPDS. One of the applications will provide a Web-based capability for teachers to apply for transfers, one is a tracking system for official personnel folders, and one provides users with the ability to generate productivity reports.

According to comments on the DoD-wide list, CPMS considers that the tracking system for personnel actions duplicates functionality provided by Oracle Federal HR. CPMS also commented that the teacher rating, ranking, and tracking system duplicates functionality provided by Resumix. We believe that the application partially duplicates Resumix capabilities. In addition, although CPMS did not state on the DoD-wide list that the system used to process equal employment opportunity duplicates functionality in CATS, we believe that the system does. The training application was not included on the Defense organization list provided to CPMS and, therefore, CPMS did not comment on the application. However, based on the CPMS position on similar applications, we believe CPMS would consider that the application duplicates functionality provided in OTA.

¹³Because the capability to track household goods shipments and the travel voucher system were reported to CPMS as enhancements, we included them in our analysis; however, we do not consider them enhancements to DCPDS. Those functions are generally considered travel actions rather than personnel actions.

System Workarounds and Patches

The Components had to perform numerous workarounds and received frequent software patches to make DCPDS work.

System Workarounds. The Components had to perform numerous workarounds to process personnel actions in DCPDS. Workarounds allow the users to complete actions in DCPDS by working around the system, in a sense tricking the system so a personnel action can be completed. In early 2002, CPMS reported there were more than 400 workarounds in use related to open system problem reports¹⁴ associated with DCPDS. By the end of July 2002, CPMS reported that the number of workarounds in use had decreased to approximately 175. The number of workarounds had been further reduced to 81 (related to 113 problem reports assigned to Lockheed Martin) by early February 2003. Several users stated that they were not satisfied with the large number of workarounds needed for DCPDS, stating that while some workarounds were simple and easy to remember, others were complex.

Of the nine Components, representatives from seven stated that the numerous workarounds were negatively impacting the processing of civilian personnel actions. The Components indicated that using workarounds to process personnel actions was not efficient. Further, even when a problem report is closed and the associated workaround is no longer needed, several users indicated they continued to use the workaround because they lacked confidence that the workaround was no longer necessary. We believe that the need for numerous workarounds is an indication of a system that is not working properly.

Workarounds and the Problem Reporting Process. The Components or CPMS, as part of the problem reporting process, developed workarounds. When a Component identifies a problem within DCPDS, the Component submits a problem report to CPMS, including a severity level from one (high) to four (low), depending on the effect of the problem. The severity level establishes the timeframe in which Lockheed Martin is to fix the problem (target recovery).¹⁵

- Severity level 1 – Problem renders the computer software non-operational. The target recovery is 48 hours.
- Severity level 2 – Problem adversely affects mission accomplishment and has no known workaround. The target recovery is 5 working days. A severity level 2 problem needs to be fixed with a software patch or a documented workaround. If CPMS identifies a suitable workaround, the problem report may be downgraded to a severity level 3. If the problem is resolved by a software patch, the problem report is closed.

¹⁴Problem reports are submissions from Component users to CPMS and Lockheed Martin that convey there is a problem in the system.

¹⁵Problem reports directly related to the basic Oracle Federal HR application are handled by Oracle and not subject to the target recovery timeframes.

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- Severity level 3 – Problem adversely affects mission accomplishment but has a documented workaround; the action can be completed, but not the way the system was designed to complete it. If the workaround is submitted with the problem report, it is initially assigned a severity level 3. CPMS stated that all severity level 3 problem reports remain at level 3 until a software patch is implemented and a workaround is no longer needed. Severity level 3 problem reports have a target recovery of the next major patch.
 - Severity level 4 – System annoyances that do not keep a user from processing a personnel action. These problem reports have a very low priority for correction.

CPMS notifies Components by electronic mail when a problem is fixed by a patch and a workaround is no longer necessary. As of February 3, 2003, there were 306 problem reports, of which 204 were assigned to Lockheed Martin—no level 1, 7 level 2, 140 level 3, and 57 level 4. Of the 140 level 3 problem reports, 27 would be closed by a pending patch release, leaving 113 open problem reports assigned to Lockheed Martin. Of the remaining 102 problem reports (all level 3 or level 4), 47 were assigned to CPMS and 55 were assigned to the Components.

Component Issues Regarding Workarounds. In addition to the number of workarounds, the Components identified two other problem areas regarding the use of workarounds in DCPDS—insufficient documentation and lack of confidence that a problem would be fixed if a workaround existed.

Documentation of Workarounds. There was no comprehensive, centralized list of DCPDS workarounds available to all users. CPMS stated that each workaround for a problem report is formally documented in the DCPDS problem report tracking system, known as Remedy. However, user access to the information in Remedy is limited by the Components, generally to help desk personnel who report and track problem reports. Initially, CPMS kept a list of documented workarounds on its Web site. However, CPMS found it difficult to keep the information current and stopped maintaining the information. Therefore, the Components had to assume the responsibility for disseminating workaround information. The Army Civilian Personnel Operations Center Management Agency maintains a partial list of workarounds on its HR Web site¹⁶ that is available to all users, DoD-wide. Personnel from seven of the nine Components stated they relied on the Army Web site to keep informed about workarounds. The remaining two Components used internal methods to provide workaround information to their users.

Submitting Workarounds With Problem Reports. Four users at three Components stated that CPMS and Lockheed Martin do not readily fix problem reports that are submitted with workarounds. As a result, two users indicated they have not always provided a workaround when submitting a problem report so the problem will remain at severity level 2, thereby increasing the likelihood for a permanent solution instead of a documented workaround.

¹⁶<http://www.cpocma.army.mil/mdcpds/index.htm>

CPMS Actions for Reducing Problem Reports and Workarounds.

CPMS stated that it is working to reduce the number of problem reports and workarounds. Quarterly, CPMS canvasses the Components to identify the most troublesome problems. Using that information, and considering which problem repairs would yield the most benefit to the users, CPMS prioritizes outstanding problem reports. The contractor, Lockheed Martin, is expected to reduce the total number of open problem reports to less than 50 by October 2003 and then maintain no more than 50 open problem reports of all severity levels for the remainder of the contract, ending September 2007. According to CPMS, the new contract requirement should significantly decrease the number of workarounds.

Software Patches. Software patches are modifications to the system to enhance a capability or correct a problem. DCPDS frequently required patches. A listing of recent patches on the Army Civilian Personnel Operations Center Management Agency Web site¹⁷ detailed 133 patches to DCPDS from the end of July 2001 through the end of January 2003, some major patches and other smaller ones—an average of more than 7 patches per month. See Appendix C for details regarding the patch process.

Representatives from all nine Components stated that the implementation of software patches adversely impacted their personnel servicing operations. They reported eight specific problems. The following list summarizes the problems reported by the users regarding implementation of software patches, in the order they were most frequently reported.

- The patch unexpectedly caused new problems that had not been previously identified as a problem or caused previously corrected problems to reappear.¹⁸
- Documentation explaining the patch was not clear.
- The Component was not provided sufficient time to test the patch.
- Overtime or weekend hours were required to test and implement the patch.¹⁹
- Patches were too frequent.
- Implementation of the patch created downtime.
- The patch was not properly tested.
- Patch changes frequently required additional training.

¹⁷The CPMS Web site does not provide content-related patch information on DCPDS.

¹⁸In an effort to prevent the patches from causing problems elsewhere in the system software, CPMS recently acquired Merant Change Manager software to assist Lockheed Martin with system changes. The software compares new code with existing code to identify possible mismatches.

¹⁹With the implementation of the Web-based capability in Oracle Federal HR version 11i, patch updates will be simplified.

DCPDS Functionality

Some of the nonstandard applications were developed and workarounds and software patches were needed because DCPDS was deployed before it could efficiently perform all the functions specified in its ORD. The inefficiencies were of two types: the software applications did not adequately perform the functions required in the ORD or the functionality was missing.

CPMS maintained that DCPDS was functioning adequately because the system is capable of processing all personnel actions required by the Office of Personnel Management. The Component program managers agreed, but noted that many of the actions require workarounds. However, the “Operational Requirements Document for the Defense Civilian Personnel Data System Modernization Program,” November 22, 1999, did not limit DCPDS functionality to simply processing Office of Personnel Management-identified personnel actions. The ORD includes requirements such as position management, training management, and workforce relations.

Adequacy of Software Applications. When initially deployed, DCPDS lacked the capability to correctly perform several key functions that are directly related to ORD requirements. Those functions included processing several types of mass personnel actions, administering training requirements, and accurately generating reports from the DCPDS databases.

Processing Mass Personnel Actions. When DCPDS was initially deployed, it did not efficiently process several types of mass personnel actions, two of which were specifically required in the ORD—pay adjustments and realignments. “The Defense Personnel Data System, Qualification Operational Test and Evaluation Report,” March 24, 2000, noted that the processing of four mass actions (appraisals, awards, pay adjustments, and realignments) had not been observed during operational testing. Although the report stated the system was operationally suitable, it recommended that the four mass action capabilities be operational before the system was deployed and noted that if the mass action capabilities were not improved, user workload and dissatisfaction with the system would increase.

However, only the mass pay adjustment capability was operational in the initially deployed version of DCPDS. Oracle personnel stated that the only mass action capability that was part of the initial Oracle Federal HR system was mass pay adjustments; the remaining mass action functions had to be added to DCPDS through patches. Although deployment of DCPDS began in 1999, the capabilities to process mass appraisals and mass awards were not fully operational until 2002, more than 2 years after initial deployment. The inability to perform mass personnel actions required the user to process each action individually.

Most of the Components visited identified the lack of mass action processing as a major flaw in the initially deployed DCPDS. Further, although the four mass action processing functions are now operational, seven of the nine Components identified processing mass actions, except mass pay adjustments, as still being less efficient with DCPDS than with the legacy system it replaced. For

example, personnel specialists at an Army regional service center noted that the procedures for processing mass actions in DCPDS are much more complex, time consuming, and prone to error. Similarly, an information systems manager at the Defense Logistics Agency stated that she now has to “touch,” that is access, each individual’s personnel file to update a common data element on mass appraisals, a procedure that was not necessary in the previous system.

Administering Training Requirements. DCPDS lacked the capability to efficiently administer training requirements as specified in the ORD. The ORD states that the function will include the capabilities to establish training needs and plans, acquire appropriate training courses, and post relevant information to employee records. The OTA module in the DCPDS suite is a commercial off-the-shelf Oracle product that CPMS selected to meet ORD requirements for the administration of training. However, Component users stated that OTA did not have the capability to perform all its prescribed functions. For example, several personnel specialists noted that OTA does not have a standardized data entry format or data dictionary, making entering and maintaining vendor and training course information almost impossible. As a result, only three of the nine Components used the module, and that use was limited.

Additionally, the Navy Office of Civilian Human Resources studied the OTA module and issued the results of its study in the “Report on Functionality Testing of the Oracle Training Administrator Module at the Human Resources Service Centers,” February 25, 2002. The Navy tested the OTA module at six of its seven regional service centers from December 3, 2001, through February 8, 2002, to determine whether and how OTA contributed to improved program outcomes and processes. The report results were provided to CPMS in June 2002. The Navy report states that OTA did not sufficiently support business processes, meet necessary functionality requirements, or contribute to improved organizational performance. Additionally, the report states that a greater level of effort was required using OTA than alternative methods, including as much as 229 percent more time than if the processing was completed manually. The Navy concluded that OTA substantially slowed the processing of training actions and that OTA had not reached the level of maturity necessary to meet basic training and employee development functions. The report states that OTA, as designed, should not be implemented. CPMS is working with Oracle and the Components to upgrade OTA to better meet user needs.

Generating Reports. Component managers noted that DCPDS did not accurately generate data for the Defense Manpower Data Center or for several mandatory reports for the Office of Personnel Management. One manager stated that he used data from the payroll system to create some mandatory reports because of concerns about the reliability of data in DCPDS. Another manager who used DCPDS data for the mandatory reports estimated that data errors in the reports had increased from around 3 percent using the legacy system to 15 percent to 20 percent using DCPDS.²⁰ An information systems supervisor at one Component stated that she believed the data accuracy problems occurred because DCPDS did not have sufficient built-in edits or business rules to catch common errors and that CPMS had not provided guidance on how to properly extract data

²⁰We did not validate the estimated increase in data errors.

from the system. Component managers also cited the lack of a data dictionary and data mapping as adversely affecting the quality of the reports.

Sufficiency of Software Applications. DCPDS did not contain some necessary and desired functions that were available in the legacy system. Several Component program managers stated they assumed that all functionality in the legacy system would be carried over into DCPDS. Also, the Components identified additional desired functionality through participation in working groups. However, DCPDS did not have all of the functional capabilities of the legacy system and many of the desired functional enhancements had not been added to the system. Representatives at three Components stated that they believed CPMS placed deployment of the baseline system ahead of adding needed functionality.

CPMS stated that the Components were informed during working group meetings that the capabilities and functionality in the legacy system would be available in DCPDS, except the delivery method might be different. However, the legacy system had capabilities and functionality that were not incorporated into DCPDS. Personnel specialists at the regional service centers and the customer support units visited identified batch printing, mass appointments, mass changes, mass routing, and standardized ad hoc querying as important capabilities and functionality desired by the users that were lost with the conversion from the legacy system to DCPDS.

- Batch Printing – the ability to select and print forms for several employees at the same time. Personnel specialists at both the regional service center level and the customer support unit level commented that they lost the capability to batch print Requests for Personnel Actions and Notices of Personnel Actions, an important capability that was available in the legacy system. Instead, they have to print each form individually after accessing the individual's personnel record.
- Mass Appointments – the capability to process a large number of hiring actions for the same position. An overseas regional service center processes appointments for approximately 1,700 summer interns each year. Without a mass appointment capability, redundant position data must be separately entered for each individual. Using the legacy system, the redundant data could be copied from one action and pasted to all similar actions. One of the regional service center managers stated that the process went from taking days to taking weeks to complete.
- Mass Changes – the capability to change a single data element for multiple records at the same time; that is, a global change. In the legacy system, mass changes could be accomplished by merely selecting the affected individuals and making one change. In DCPDS, the personnel file for each affected civilian employee has to be individually accessed and updated.
- Mass Routing – the capability to move a block of Requests for Personnel Action simultaneously from one manager or supervisor's inbox to a personnel specialist's inbox. Personnel from one

Component explained that the capability was especially useful to resource management office personnel because, after processing the funding for a group of personnel actions received from several managers, they could batch the actions and send them to the appropriate personnel specialists. In DCPDS, each action must be transmitted individually, a task that users find frustrating and time consuming.

- **Standardized Ad Hoc Querying** – the capability to generate ad hoc reports. Although DCPDS contains several hundred standard reports, many of which are used by the Components, all nine Components identified DCPDS reporting capabilities as being less efficient than the legacy system. The legacy system included a capability called Direct English Statement Information Retrieval, known as DESIRE, that facilitated querying the database and generating ad hoc reports. The DESIRE feature was developed to query the simple files in the legacy system, but it cannot operate with the complex relational databases in DCPDS. Consequently, each Component had to purchase licenses for external ad hoc query tools. CPMS identified Oracle Discoverer as the DCPDS ad hoc query tool; however, the use of Oracle Discoverer was not mandated. As a result, only one of the nine Components, the National Guard Bureau, selected that software. Instead, for various reasons, such as ease of use or Component-wide purchase of the software, the query and reporting tools used by the other Components are Cognos or Business Objects. The Navy and the Defense Finance and Accounting Service use Cognos; the remaining six Components use Business Objects.

Change Control Board. The Change Control Board was chartered by CPMS on July 14, 2000, to evaluate and approve functional changes or enhancements to DCPDS software. The Change Control Board is chaired by the Deputy Director, HR Automated Systems at CPMS and includes voting members representing the Military Departments, the National Guard Bureau, the Defense Logistics Agency, Washington Headquarters Services,²¹ and non-Defense users.²² The users submit a System Change Request through Component channels to the Change Control Board. The Change Control Board, which meets at least quarterly, evaluates, approves, and prioritizes the requested changes. CPMS then tasks the support contractor to develop software patches to implement as many of the changes as possible during the quarter. The Change Control Board identified 80 outstanding requests, as of January 9, 2003, for functional enhancements to DCPDS.

CPMS needs to develop a systems improvement plan. The plan should include a schedule, developed in coordination with the Components, for resolving the deficiencies in all the modules in the DCPDS suite in a timely manner, including incorrect processing and missing functionality. The plan should also include the methodology for reviewing and approving nonstandard applications. Further, the plan should include a survey of DCPDS users. The users surveyed should include

²¹Washington Headquarters Services has one vote that represents all the Defense organizations, except the Defense Logistics Agency.

²²Non-Defense users together have one consensus vote.

regional service center personnel, customer support unit personnel, and managers and administrative personnel who initiate personnel actions. The goal of the plan should be to have the Components deploy all the modules in the DCPDS suite and limit the development of nonstandard applications to only those for Component-unique issues.

Component Business Practices

The Components often did not modify their business practices²³ to accommodate the new requirements of the system, choosing instead to use nonstandard applications, some of which were partially duplicative of DCPDS capabilities. Before regionalization and system modernization, each Component performed many of the HR functions differently. The Components were not always willing to abandon the systems they had already implemented and on which staff had been trained. For example, four Components did not use and did not plan to use CATS. Instead, they developed and used a database, a spreadsheet, or a stand-alone equal employment opportunity program. With regard to COREDOC, two Components stated that their position description library better meets their needs.

One regional service center manager identified that user problems cannot always be attributed to DCPDS not working properly and that, in some cases, the problem is the result of business practices. The manager acknowledged that the legacy system and DCPDS perform differently, and the manager had made changes to adapt to DCPDS. That regional service center staff expressed a higher level of satisfaction with DCPDS than other sites visited.

We believe that implementing DCPDS requires a commitment from both CPMS and the Components. CPMS needs to ensure the system works properly and has the functionality to meet user needs. On the other hand, once the problems are resolved and the needed functionality has been added, the Components need to accept that DCPDS is different from previous HR processing systems and they need to change their business practices to accommodate the differences.

CPMS Authority

CPMS did not have clear authority to require the Components to use all DCPDS modules and did not have clear authority to manage the development and implementation of nonstandard applications.

DCPDS Policy. There is limited policy outlining the procedures, processes, roles, and responsibilities regarding the use and modification of DCPDS and the implementation of nonstandard applications. DoD Directive 1400.25, “DoD

²³There are situations when business practices cannot be modified, such as union agreements.

Civilian Personnel Management System,” November 25, 1996, states that it is DoD policy to:

- identify, jointly develop, and issue civilian personnel policies, procedures, and guidance for DoD-wide application;
- develop, deploy, and maintain a single DCPDS; and
- develop and maintain standard civilian personnel data.

However, the Directive does not address the role of CPMS with respect to managing Component development and use of nonstandard applications.

The memorandums of understanding between CPMS and each Component provide additional details regarding the roles and responsibilities of CPMS and the Components. The memorandums of understanding state that the Director, CPMS will “provide or approve all functional requirements and exercise DoD-level functional management responsibility and accountability over systems activities.” Further, the memorandums state that the Director, CPMS will work with each Component to ensure its functional requirements are fully considered for inclusion in DCPDS. The memorandums also state that the Components can fund enhancements and changes that are outside the scope of the standard DCPDS. However, the memorandums of understanding do not specifically:

- prevent the Components from adding nonstandard applications to the system,
- require CPMS approval for nonstandard applications, or
- require the Components to use all the modules in the DCPDS suite.

Control Over Nonstandard Applications. CPMS tried to manage the proliferation of nonstandard applications implemented by the Components through the release of two memorandums and the establishment of the Systems Innovation Subcommittee. The memorandums to the Components were attempts to expand the authority of CPMS in managing DCPDS, including its role regarding the use of Component-developed nonstandard applications.

- Deputy Assistant Secretary of Defense (Civilian Personnel Policy) memorandum, “Component-Unique Human Resources System and Software Development Projects,” February 12, 1999 – outlined the role of CPMS for approving nonstandard applications developed or purchased by the Components.
- Under Secretary of Defense for Personnel and Readiness memorandum, “Civilian Human Resources Automation Initiatives and Support Structure in the DoD,” October 17, 2001 – reiterated the role of CPMS in regionalization, modernization, and approval of nonstandard applications. The memorandum included the CPMS authority to manage Component regionalization issues, such as the closure or relocation of regional service centers. That authority was

rejected by the Military Departments as outside the scope of the CPMS responsibility.

- The Systems Innovation Subcommittee – established in March 2002 under the Change Control Board for reviewing nonstandard applications. CPMS established the subcommittee to manage the development and implementation of nonstandard applications. The subcommittee reviews, analyzes, and recommends which, if any, of the nonstandard applications should be considered for DoD-wide implementation. Enhancements to Resumix were considered by the Change Control Board for incorporation into DCPDS.

CPMS and the Components need to agree on a policy that governs all roles with respect to DCPDS. The policy needs to specifically mandate Component use of all the modules in the DCPDS suite and clearly identify the role CPMS will have in controlling the development and implementation of nonstandard applications added to DCPDS. We believe some nonstandard applications are necessary. Therefore, CPMS and the Components need to work together through the Change Control Board to identify which nonstandard applications are Component-unique and, therefore, acceptable for the Component to develop and fund; which are not acceptable and should be phased out; and which should be considered for DoD-wide implementation.

Impact on Standardization and Performance

As a result of the inadequacies in DCPDS, the actions taken by the Components to overcome those inadequacies, and the resistance of the Components to modify their business practices to accommodate the system, DoD did not fully achieve its desired goals for system standardization and for increased performance efficiencies through the implementation of DCPDS.

Achievement of System Standardization. System standardization had been achieved for basic civilian personnel processing with the use of Oracle Federal HR. However, full HR system standardization had not been achieved. Components had chosen to not use major portions in the DCPDS suite and had added nonstandard applications. The DCPDS modules of Oracle Federal HR, AutoRIF, COREDOC, and Resumix had been used by a majority of the Components, although some Resumix users added nonstandard applications and COREDOC use was limited. However, two modules, CATS and OTA, had not been adopted by the majority of the Components. Instead of using those modules, Components took other measures to satisfy their requirements. Each Component has the requirement to track equal employment opportunity complaints and manage training, and the DCPDS modules were not meeting those requirements. As a result, the Components were using other automated tools or performing tasks manually to meet their HR requirements. An example of the impact of the lack of standardization can be found with DoD reporting, in that without standardized reporting, comparisons across Defense organizations is more difficult.

CPMS standardized the processing of DoD civilian personnel actions by deploying the DoD-enhanced version of Oracle Federal HR. However, CPMS did not ensure all the modules in the DCPDS suite met ORD requirements and operated correctly. For example, CPMS did not ensure that OTA met training administration requirements and that Resumix supported the hiring of all types of applicants needed by the Components.

By not controlling the implementation of nonstandard applications, there has been software duplication. Public Law 105-261, “Strom Thurmond National Defense Authorization Act For Fiscal Year 1999,” Sec. 331§ 2223, October 17, 1998, requires the DoD Chief Information Officer to “provide for the elimination of duplicate information technology . . . within and between the military departments and Defense Agencies.” However, the CPMS lack of clear authority to manage Component-desired enhancements, such as an EOPF application, resulted in the emergence of duplicate applications. Some duplication can be resolved by correcting the software, increasing DCPDS capability, or having the Components revise their business practices. With regard to the EOPF application, the application used by the Defense Logistics Agency was selected in February 2003 for DoD-wide implementation. Therefore, one or more of the Components will be required to invest additional time and costs to convert to the selected application.

Because there was no requirement for standardized ad hoc querying and reporting software, the upgrade to Oracle Federal HR version 11i may impact Component-generated queries and reports. Further, the Office of the Inspector General of the Department of Defense experienced the impact of the lack of standardization for ad hoc querying software when its regional service center changed. Its original regional service center, Washington Headquarters Services, used Business Objects software to generate reports. Its new regional service center, the Defense Finance and Accounting Service, used Cognos. The Office of the Inspector General had to purchase new software, Cognos, and retrain its staff. That would not have been required if all Components had been required to obtain the same software.

Achievement of Increased Performance Efficiencies. DoD reduced its HR staffing; however, it had not fully achieved its desired staffing goals. Program Budget Decision 711 states that the HR regionalization and modernization initiative was undertaken to reduce the costs of DoD civilian personnel offices. Regionalization was planned to increase the ratio of personnel specialists to the civilian population serviced (the servicing ratio) from 1 to 60 to 1 to 71. Modernization of the information system was expected to further increase the servicing ratio to 1 to 88 by FY 1998 and to 1 to 100 after FY 2001. However, in a briefing given in August 1996, CPMS stated that it believed a servicing ratio goal of 1 to 88 more accurately reflected the Program Budget Decision goal. CPMS reiterated its position in an October 2002 briefing.

DoD improved its overall servicing ratio through regionalization and modernization. The regionalization goal of 1 to 71 had, for the most part, been achieved; however, DoD had not attained its desired goal of 1 to 88. DoD had achieved a servicing ratio of 1 to 80 by the end of FY 2002. Of the nine Components, none achieved a servicing ratio of 1 to 100 and only two achieved a servicing ratio meeting or exceeding 1 to 88. Table 3 shows the servicing ratio achieved by each Component as of September 30, 2002.

Table 3. Ratio of Component HR Staff to Population Served as of September 30, 2002			
<u>Component</u>	<u>HR Staff</u>	<u>Population Served</u>	<u>Servicing Ratio</u>
Defense Finance and Accounting Service	262	26,051	1:99
Defense Commissary Agency	153	13,807	1:90
Defense Logistics Agency	384	33,560	1:87
Navy	2,327	199,681	1:86
Army	2,752	229,080	1:83
Department of Defense Education Activity	222	17,650	1:80
National Guard Bureau	587	46,956	1:80
Washington Headquarters Services	154	11,366	1:74
Air Force	<u>2,276</u>	<u>150,549</u>	1:66
Total	9,117	728,700	1:80

Army Initiative

We commend the Army for its management initiative to provide information on processing civilian personnel actions in DCPDS over the Internet. To compensate for the shortfall of user information provided by CPMS, the Army Civilian Personnel Operations Center Management Agency established a Web site that contains current information on processing civilian personnel transactions, workarounds, and software patches. Users at 9 of the 11 non-Army regional service centers and customer support units visited stated that they used the Army Web site for current information and tools for processing personnel actions. The Army Web site includes access to an on-line desk guide; job aids, which are step-by-step instructions for processing various personnel transactions; information on current workarounds; information on software patch releases; and training tools. As the organization releasing the software patches and documenting the workarounds, CPMS was in a position to have the most current information but did not keep the information current. The Army, realizing a need for that information, took the initiative to satisfy the requirement.

Management Comments on the Finding and Audit Response

Deputy Under Secretary of Defense (Civilian Personnel Policy) Comments. The Deputy Under Secretary of Defense (Civilian Personnel Policy) partially concurred with the finding. The Deputy Under Secretary concurred with the statements that DoD achieved standardization for basic personnel processing, DoD reduced personnel staffing, the Components did not fully use the capabilities of DCPDS, and

the Components added nonstandard applications to the system. The Deputy Under Secretary further concurred that the Components had to perform numerous workarounds and received frequent software patches to make DCPDS work.

However, the Deputy Under Secretary did not concur with the statement that the nonstandard applications were developed, the workarounds were needed, and the patches were released because the system was deployed before it could efficiently perform all the functions specified in the ORD. The Deputy Under Secretary stated that an independent Qualification Operational Testing and Evaluation report prepared by the Air Force concluded that the system was operationally suitable and advised deployment was warranted. The Deputy Under Secretary further stated that Component resistance to standard business processes gave rise to the difficulties in achieving standardization.

The Deputy Under Secretary also did not concur with our assertion that CPMS did not have clear authority to require the Components to use all the DCPDS modules or manage the development and implementation of nonstandard applications. The Deputy Under Secretary stated that a policy memorandum issued in October 2001 by the Under Secretary of Defense for Personnel and Readiness assigned CPMS the responsibility for reviewing and approving all HR-related automation initiatives. The Deputy Under Secretary also stated that CPMS is drafting a subchapter to DoD 1400.25-M, "Department of Defense Civilian Personnel Manual," December 1996, to address all aspects of the recommendations in this report. The Deputy Under Secretary further stated that lack of adherence by the Components to policies of the Under Secretary should not be construed as lack of CPMS authority.

The Deputy Under Secretary did not concur with the assessment that there was a material management control weakness in the CPMS oversight of DCPDS. The Deputy Under Secretary indicated that there were strong and effective controls at CPMS as well as policy and programmatic oversight exercised within the Office of the Under Secretary of Defense for Personnel and Readiness.

The Deputy Under Secretary also provided updated information concerning the number of outstanding workarounds and problem reports and commented that the security issues related to the CATS module were Component issues and not system related.

Department of Defense Education Activity Comments. The Department of Defense Education Activity stated that it has unique servicing requirements that are not like the other Defense organizations and, therefore, could not change its business processes to fully use the functionality in the DCPDS suite. The Education Activity also stated that it was centralized under a different authority than the other Components. In addition to the editorial comments provided, the Education Activity commented on our use of the ORD as the means for assessing whether DCPDS met its requirements, stating that the ORD required only four key performance parameters be met before deployment. The Education Activity also stated that the Integrated Database did not duplicate a DCPDS capability. In addition, the Education Activity questioned the source of the data used to calculate its servicing ratio in Table 3.

See the Management Comments section of the report for the complete text of management comments.

Audit Response. We do not agree with several of the comments made by the Deputy Under Secretary. First, regarding deployment of the system, our statement that the system was deployed before it was capable of performing all the functional requirements outlined in the ORD was supported by the Air Force organization that conducted testing and evaluation. The Air Force stated the system was operationally suitable; however, it also recommended that the four mass action capabilities be operational before the system was deployed, stating that if the mass action capabilities were not improved, user workload and dissatisfaction with the system would increase. We believe the Air Force concern was valid and those concerns were supported by user opinions expressed during the audit.

Second, we do not agree that the October 2001 memorandum issued by the Under Secretary of Defense for Personnel and Readiness was sufficient. Although the memorandum gave CPMS the authority to review and approve all HR-related automation initiatives, the Components did not accept that memorandum as formal policy and did not establish implementing procedures. Although the Deputy Under Secretary did not agree with our statement that CPMS lacked clear policy to manage the development and implementation of nonstandard applications, the action taken by CPMS—the development of the subchapter to DoD 1400.25-M—is an excellent step that will help resolve the authority issue identified in this report. Clearly defining the roles and responsibilities of CPMS and the Components should help resolve some of the problems associated with the proliferation of nonstandard applications. The change to the Manual will also require coordination with all Components before publication, thereby reducing Component resistance.

Third, as stated in the report, Component resistance to change was a factor in the lack of standardization; however, we believe that system inadequacies were a major cause of continued Component resistance. Statements by the Deputy Under Secretary concerning the development of committees and working groups to address improvements to the Resumix and OTA modules support our assertion.

Fourth, we do not agree that there were sufficient management controls over the implementation of DCPDS. The deployed system did not meet ORD requirements and the Components have not fully implemented the DCPDS modules. CPMS did not start monitoring the numerous nonstandard applications until March 2002 with the establishment of the Systems Innovation Subcommittee and the list prepared by the Subcommittee was not complete. We identified additional nonstandard applications during our site visits. However, the publication of the DCPDS subchapter in DoD 1400.25-M should improve management controls.

Last, although the updated data provided by the Deputy Under Secretary reflected a reduction in the number of problem reports and workarounds, we did not update the report because the updated information covered only part of the problem report data we used in the report.

Regarding the comments from the Department of Defense Education Activity, we agree that not all business processes can change; however, the goal within DoD is for standard systems and processes. Every Component should work toward that goal. As for the different initial policies directing regionalization, the reference in

the report is correct and the key point is that regionalization was required by all Components. The editorial comments were from the perspective of the Education Activity and most did not affect the report statements or the overall report conclusions. Further, we acknowledge that the ORD identified only four functional requirements as key performance parameters; however, the ORD does not state that meeting those functional requirements was a prerequisite to deployment nor did the Air Force limit its test to those four requirements. There were 68 functional requirements and we do not believe meeting only 4 is evidence of a fully effective system. Regarding the Integrated Database, it was not the Education Activity nonstandard application referred to in the report that duplicated functionality in DCPDS. Last, the data used for the Education Activity servicing ratio was provided by Education Activity staff.

Recommendations, Management Comments and Audit Response

1. We recommend that the Under Secretary of Defense for Personnel and Readiness develop and issue policy that, at a minimum:

a. Defines the roles and responsibilities of the Civilian Personnel Management Service and the Components in system implementation, ongoing design, oversight, and training for all modules in the Defense Civilian Personnel Data System suite.

b. Acknowledges the charters for the various boards and subcommittees supporting system software and hardware upgrades and enhancements.

c. Requires that the review of nonstandard applications be completed in a timely manner and that the Components be notified quickly of review results.

Deputy Under Secretary of Defense (Civilian Personnel Policy) Comments. The Deputy Under Secretary of Defense (Civilian Personnel Policy) concurred, stating that a formal policy should be established to address and resolve issues regarding HR automated systems. The formal policy will be included as a subchapter in DoD 1400.25-M. The Deputy Under Secretary also stated that the governance structure for civilian HR under the direction of the Office of the Under Secretary of Defense for Personnel and Readiness had been in place for several years, including the policy and authority for HR automation.

Air Force Comments. The Air Force concurred, stating that the Components should be given the opportunity for substantive input with regard to defining roles, responsibilities, procedures, and timelines for review of nonstandard applications.

Audit Response. The Deputy Under Secretary's comments are fully responsive. Although the Deputy Under Secretary stated the governance structure was in place, the Deputy Under Secretary is formalizing the memorandums into a published DoD policy. We agree with the Air Force that the Components should

coordinate on the policy. Under the policy coordination process, the draft chapter to the Manual will be coordinated with the Components prior to publication.

2. We recommend that the Director, Civilian Personnel Management Service:

a. Develop a systems improvement plan, in coordination with the Components, that, at a minimum, includes:

(1) A schedule for correcting documented software problems and ensuring required functionality is incorporated into all the modules in the Defense Civilian Personnel Data System suite in a timely manner.

(2) A plan of action for the timely review, approval, and incorporation of desired enhancements into the system, including Component nonstandard applications approved by the Change Control Board to become part of the system.

(3) A survey of users, including regional service center and customer support unit personnel, and managers who initiate actions to determine the level of satisfaction with the system and document any recommendations for improvements for consideration by the Change Control Board.

Deputy Under Secretary of Defense (Civilian Personnel Policy) Comments.

The Deputy Under Secretary nonconcurred with the recommendation to develop a schedule for correcting documented software problems and missing functionality, stating that there are already reliable, established mechanisms for handling problem reports (Remedy tracking system) and missing functionality (such as the OTA working group). In addition, the DCPDS contract includes metrics concerning problem reports and system changes, such as problem report ceilings and repair schedules. The Deputy Under Secretary also nonconcurred with the recommendation to develop a plan of action for the timely review of desired enhancements and nonstandard applications, stating that the Change Control Board handles system enhancements and the Systems Innovation Subcommittee deals with nonstandard applications. The Deputy Under Secretary nonconcurred with the recommendation to conduct a survey, stating a survey was conducted in March and April as part of the DCPDS Post Implementation Plan. The results will be used to identify areas of user concern.

Air Force Comments. The Air Force concurred, stating that the Components should be given the opportunity to provide substantive input in developing the systems improvement plan. The Air Force also stated that the plan should include an ongoing effort to compare emerging HR technology with current DoD systems and applications.

Audit Response. The Deputy Under Secretary's comments are partially responsive. Although the Remedy system tracks problem reports and provides completion dates for the problems being worked and CPMS has established groups for handling functionality issues, there is no single comprehensive plan addressing all problem reports and missing functionality or ensuring all problems

have been identified and are in a schedule for resolution. The Air Force comments and the concerns expressed by the Components during the audit indicate that the Components are not satisfied that system problems and missing functionality issues are being adequately addressed. CPMS, in coordination with the Components, needs to develop a comprehensive systems improvement plan. The plan should include a schedule for the completion of outstanding software problem reports and for incorporating functionality originally planned for DCPDS but never provided in the system that is still desired by the users. In addition, the plan should include system enhancements and decisions regarding nonstandard applications in use by the Components. Although the Deputy Under Secretary nonconcurred with the recommendation for a user survey, a survey was conducted and the Deputy Under Secretary stated that the results will be used for improvement and enhancement efforts. We request a copy of the survey instrument and complete results in response to the final report. As a result of the Air Force comments, we moved the phrase, “in coordination with the Components,” from Recommendation 2.a.(1) to Recommendation 2.a. We request that the Deputy Under Secretary reconsider her position regarding the development of a systems improvement plan and provide additional comments on the final report, as shown in Table 4.

b. Define the capabilities that are included in the Defense Civilian Personnel Data System suite.

Deputy Under Secretary of Defense (Civilian Personnel Policy) Comments. The Deputy Under Secretary concurred, stating that the capabilities of DCPDS will be included in the proposed subchapter in DoD 1400.25-M.

Air Force Comments. The Air Force concurred, adding that the Components should be given the opportunity to ensure system capabilities are appropriately defined.

Audit Response. The Deputy Under Secretary’s comments are fully responsive. Regarding the Air Force comments, the Components will have an opportunity to comment during the policy coordination process.

3. We recommend that the Assistant Secretaries of the Military Departments (Manpower and Reserve Affairs); the Chief, National Guard Bureau; and the Directors of the Defense Commissary Agency, the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services develop organizational plans to:

a. Revise business practices to accommodate the modules in the Defense Civilian Personnel Data System suite, after the software problems have been corrected and critical deficiencies have been addressed.

b. Phase out nonstandard applications that are not approved by the Change Control Board.

c. Require all nonstandard applications to be submitted to the Civilian Personnel Management Service for approval prior to development or purchase.

Army Comments. The Army concurred and stated that all Army nonstandard applications in use or planned have been approved by CPMS, submitted to the Systems Innovation Subcommittee, or will be submitted for approval. The Army also stated that although DCPDS does not contain all the desired functionality and there are numerous workarounds, progress has been made to reduce their number. Further, since DCPDS was fielded, Army's processing time for filling vacancies has decreased substantially.

Navy Comments. The Navy did not concur or nonconcur, but expressed concerns that CPMS does not understand the requirements of the Navy Marine Corps Intranet program and the unique challenges for interoperability and maintenance the program presents.

Air Force Comments. The Air Force concurred and stated that once the problems and deficiencies with the system are corrected, no compliance issues remain, and system performance issues are resolved, business practices may be revised where feasible to accommodate the DCPDS modules. The Air Force stated that as required functionality is provided, the nonstandard applications would be phased out.

National Guard Bureau Comments. The National Guard Bureau provided additional information regarding its reasons for not using several of the DCPDS modules. The Bureau stated that the EOPF is no longer a nonstandard application.

Defense Commissary Agency Comments. The Defense Commissary Agency concurred, indicating it will revise business practices to accommodate DCPDS after the software problems have been corrected and critical deficiencies addressed. Although the Defense Commissary Agency does not have any nonstandard applications, future nonstandard applications will be submitted to CPMS before development or purchase, as needed.

Department of Defense Education Activity Comments. The Department of Defense Education Activity did not concur or nonconcur but stated that Recommendation 3.a. may not be completely possible because certain teacher requirements have to be accommodated.

Washington Headquarters Services Comments. Washington Headquarters Services did not concur or nonconcur, but provided recommended wording changes.

Audit Response. Comments from the Air Force, the National Guard Bureau, and the Defense Commissary Agency are fully responsive. We modified the report to reflect that the EOPF is no longer a nonstandard application. The Army comments are partially responsive. The Army did not comment on its plans to revise business practices to accommodate the DCPDS modules after software problems are corrected. The Navy, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services provided editorial comments but did not address the recommendation and, therefore, their

comments are nonresponsive. As a result of the comments from Washington Headquarters Services, Recommendation 3.a. was slightly modified. The Defense Finance and Accounting Service did not provide comments. See Table 4 for specific requirements for Component comments on the final report.

Management Comments Required

The Deputy Under Secretary of Defense (Civilian Personnel Policy), the Army, the Navy, and the Defense organizations listed in Table 4 are requested to comment on the items indicated with an X in the table.

Table 4. Management Comments Required				
<u>Recommendation Number</u>	<u>Organization</u>	<u>Concur/ Nonconcur</u>	<u>Proposed Action</u>	<u>Completion Date</u>
2.a.(1) and 2.a.(2)	Deputy Under Secretary of Defense (Civilian Personnel Policy)	X	X	X
3.a. through 3.c.	Army		X	X
3.a. through 3.c.	Navy	X	X	X
3.a. through 3.c.	Defense Finance and Accounting Service	X	X	X
3.a. through 3.c.	Defense Logistics Agency	X	X	X
3.a. through 3.c.	Department of Defense Education Activity	X	X	X
3.a. through 3.c.	Washington Headquarters Services	X	X	X

Appendix A. Scope and Methodology

To understand the design and use of DCPDS, as well as user satisfaction levels, we met with personnel from CPMS; its support contractor, Lockheed Martin; and managers and users at each of the Components. We judgmentally selected sites based on location, deployment date of DCPDS, and user requirements of DCPDS. We visited the DCPDS program managers for all 9 Components, 10 of the 22 regional service centers, and 6 of the 302 customer support units. During our visits to CPMS offices in Arlington, Virginia, and San Antonio, Texas, we met with managers and staff regarding the design and implementation of DCPDS. We also discussed plans that CPMS has for DCPDS. Our meetings with Lockheed Martin focused on its support of the system, problem report resolution, testing, and system enhancements. We met with representatives from all the Military Departments, the National Guard Bureau, and the five Defense organizations using DCPDS—the Defense Commissary Agency, the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services. At the Military Departments, we met with all levels of users—from individuals who initiate personnel actions to headquarters management—to better understand the effect of the system on users. At each Component site visited, we discussed seven key issues—user satisfaction, involvement in initial and ongoing system design, documentation, training, reports, use of nonstandard applications, and use of the Internet for DCPDS information. We also observed processing of personnel actions to better understand the process. At selected sites, we discussed processing requirements that were unique to that site, such as processes the personnel centers in Europe used for hiring local national employees. We also met with personnel from the Office of the Inspector General of the Department of Defense to discuss the impact of changing regional service centers.

To better understand the background, implementation schedule, and functional requirements of DCPDS, we reviewed DoD guidance and policy relating to HR management. We also examined the DoD Civilian Human Resources Strategic Plan for 2002 through 2008, the DoD Program Decision Memorandum on implementing regionalization and modernizing the systems used for civilian personnel processing, and Program Budget Decision 711 that directed the development of DCPDS. We reviewed the DCPDS ORD, mission needs statement, and qualification operational test and evaluation final report. We reviewed the statement of work for the operation, sustainment, and maintenance of DCPDS. In addition, to evaluate training and documentation, we reviewed the CPMS users and desk guides and the contents of Component civilian personnel Web sites related to DCPDS. The documentation and reports we reviewed were dated from February 1992 through September 2002.

We performed this audit from June 2002 through June 2003 in accordance with generally accepted government auditing standards. We did not use computer-processed data to perform this audit, although we used civilian personnel population and HR staffing data provided by the Components to determine the servicing ratio for each Component. We did not validate that data.

This report was based on information provided during visits to the selected sites. The information provided during the visits regarding user satisfaction and their perception of system problems was testimonial in nature, which we did not validate. However, we observed some of the system problems, reviewed workaround and patch information, and received similar statements from multiple sources corroborating the testimonial information. We did not validate the results of the Navy report on OTA, nor did we validate the perceived increase in data errors reported by one Component. In addition, we did not obtain cost data for the nonstandard applications because most Components reported that the costs would be difficult to determine as the nonstandard applications were developed over a number of years and involved both in-house and contractor support.

General Accounting Office High-Risk Area. The General Accounting Office has identified several high-risk areas in DoD. This report provides coverage of the DoD Systems Modernization high-risk area.

Management Control Program Review

DoD Directive 5010.38, “Management Control (MC) Program,” August 26, 1996, and DoD Instruction 5010.40, “Management Control (MC) Program Procedures,” August 28, 1996, require DoD organizations to implement a comprehensive system of management controls that provides reasonable assurance that programs are operating as intended and to evaluate the adequacy of the controls.

Scope of the Review of the Management Control Program. We reviewed the management control programs for CPMS and its parent organization, the Defense Human Resources Activity, as they related to the implementation of DCPDS, specifically regarding functionality and user satisfaction. We also reviewed the self-assessments provided by CPMS and the Defense Human Resources Activity as they related to the audit objectives.

Adequacy of Management Controls. We identified a material management control weakness in the CPMS oversight of DCPDS, as defined by DoD Instruction 5010.40. CPMS did not ensure that the system met user needs or functioned properly prior to deployment, which resulted in the deployment of a system that did not fully satisfy ORD requirements, necessitating the use of nonstandard applications by the Components. Further, DoD did not have sufficient policies to ensure roles and responsibilities were clearly outlined. Recommendations 1., 2., and 3., if implemented, will result in a more complete system and will improve standardization of DCPDS. A copy of the report will be provided to the senior official responsible for management controls for the Under Secretary of Defense for Personnel and Readiness.

Adequacy of Management’s Self-Evaluation. CPMS officials did not identify assessment of user satisfaction or ensuring that system functionality met user needs as assessable units. Although the Defense Human Resources Activity included regular meetings with the Components in their management control program, it did not identify or report the material management control weaknesses identified by the audit.

Prior Coverage

During the last 6 years, the General Accounting Office (GAO) issued one report and the Office of the Inspector General of the Department of Defense (IG DoD) issued three reports concerning DCPDS or DoD civilian personnel processing. Unrestricted GAO reports can be accessed over the Internet at <http://www.gao.gov/>. Unrestricted IG DoD reports can be accessed at <http://www.dodig.osd.mil/audit/reports>.

GAO

GAO Report No. AIMD-99-20, “Defense IRM: Alternatives Should Be Considered in Developing the New Civilian Personnel System,” January 27, 1999

IG DoD

IG DoD Report No. D-2002-144, “Civilian Personnel Processing by Regional Service Centers That Service Multiple DoD Agencies,” September 11, 2002

IG DoD Report No. D-2001-137, “Certification of the Defense Civilian Personnel Data System,” June 7, 2001

IG DoD Report No. 98-143, “Information Assurance for the Defense Civilian Personnel Data System—Washington Headquarters Services,” June 3, 1998

Appendix B. DCPDS Modules

DCPDS is composed of the following six modules.

Automated Reduction-in-Force. AutoRIF is an automated processing application that uses either data from the DCPDS database or manually entered data to assist in the conducting reduction-in-force actions. The application is designed to simplify processing, document actions, and minimize data entry for reductions in force. AutoRIF is designed to assist in keeping track of employees, actions, qualifications determinations, and other data related to reductions in force.

Complaints Action Tracking System. CATS is an automated processing application used to track equal employment opportunity complaints and cases handled by personnel specialists. It is designed to track complaints from initial contact through final decision. It maintains a history of the complaint, including personnel associated with the complaint, claims and incidents associated with the complaint, corrective action that results, and appeals. It is intended to provide a record of each stage or phase in the process.

Core Documents. The COREDOC application is an interactive, automated civilian personnel management system that is designed to assist managers and personnel specialists in describing and classifying duties and tasks; identifying performance objectives; staffing knowledge, skills, and abilities; and identifying training-related competencies. COREDOC allows managers and personnel specialists to retrieve a document from an inventory within COREDOC and use it as written or modify it as necessary to meet their needs.

Oracle Federal HR. Oracle Federal HR is the primary module within the DCPDS suite. It is commercial off-the-shelf software that is designed to allow system users to create, coordinate, and process Requests for Personnel Actions. It both stores and updates employee and position data. The module has been augmented by DoD to support DoD requirements.

Oracle Training Administration. OTA is an automated processing application for managing civilian training requirements and documenting training activity. It is designed to provide automated processing for all stages of civilian training administration, to include generating training request forms and continued service agreements, identifying class attendees, tracking estimated and actual costs, and producing certification and evaluation forms.

Resumix. Resumix is a software application that automates the recruitment and staffing process. It is a commercial off-the-shelf applicant referral system that uses a patented artificial intelligence to extract information regarding experience and education from applicant résumés. It is designed to assist personnel specialists by significantly reducing the hours needed to process, categorize, and match résumés against a vacancy announcement.

Appendix C. Patch Process

Requests for Change

The patch process begins with a request for change to fix a problem, perform routine maintenance, or enhance the system. There are three types of Component requests.

- Problem Reports – documented user problems reported by Component help desks.
- Change Request Transmittals – routine maintenance requests from Component users, such as adding or changing a unit identification code.
- System Change Requests – new functional requirements and system enhancements desired by CPMS or a Component. System change requests also result from regulatory and legal requirements, such as changes in Thrift Savings Plan allowances.

The problem reports and change request transmittals are reviewed by CPMS. The Change Control Board reviews the system change requests. If the request is approved, Lockheed Martin makes the software change and creates a software patch. In addition, some patches may be initiated by Oracle or Lockheed Martin.

Patch Testing and Approval

After the patch is created it goes through a testing and approval process, after which it is installed on the servers for the regional service centers and other database servers. CPMS and Lockheed Martin are not involved with determining the impact of patches on the Components' nonstandard applications. It is the responsibility of the Components to maintain system interfaces for their nonstandard applications.

Standard Operating Procedure DCPDS-00-3, "Patch Release and Approval," February 13, 2002, outlines the processes for releasing software patches. The standard operating procedure describes five types of patches—weekly, biweekly, quarterly, emergency, and patches to Oracle software.

Weekly Updates. Weekly patches generally include table updates and changes to values such as unit identification codes and program element codes. The changes are generally documented through change request transmittals. Information about the change is provided to the Components early in the week for their review. At a minimum, the Components will be provided a 24-hour review period. If problems are identified, the change will be held until the next patch; otherwise, the patch is released to the Components.

Biweekly Patches. Biweekly patches normally include fixes for problem reports and change request transmittals that are not table updates. For the biweekly patches, the support contractor provides the patch to the Components for testing. CPMS and Lockheed Martin personnel partially test the patch before it is released, but depend on each Component to test the elements of the patch that affect the Component's operation. Along with the patch, CPMS provides "read me" documentation that outlines the content of the patch and any anticipated downtime. The testing and approval process for biweekly patches is approximately 2 weeks. The patch is provided through electronic mail or Web-based downloads.

Quarterly Patches. Quarterly patches are major patch releases. Quarterly patches are released at the end of each calendar quarter and can include fixes for problem reports, change request transmittals, and system change requests. The process of review and testing begins 30 days before the date of the patch with a release to the Components of the read me documentation outlining the patch's contents. Testing is started by CPMS and the Components at least 2 weeks before the patch is released.

Emergency Patches. Emergency patches implement critical repairs and address severity level 1 or 2 problem reports. Emergency patches are implemented on an as-needed basis.

Oracle Software Patches. Oracle software patches are Oracle-provided updates to its applications (Oracle Federal HR and OTA) that are implemented on an as-needed basis.

Appendix D. Report Distribution

Office of the Secretary of Defense

Under Secretary of Defense (Comptroller)/Chief Financial Officer
Deputy Chief Financial Officer
Deputy Comptroller (Program/Budget)
Under Secretary of Defense for Personnel and Readiness
Deputy Under Secretary of Defense (Civilian Personnel Policy)
Director, Civilian Personnel Management Service

Department of the Army

Assistant Secretary of the Army (Financial Management and Comptroller)
Assistant Secretary of the Army (Manpower and Reserve Affairs)
Auditor General, Department of the Army

Department of the Navy

Assistant Secretary of the Navy (Manpower and Reserve Affairs)
Naval Inspector General
Auditor General, Department of the Navy

Department of the Air Force

Assistant Secretary of the Air Force (Financial Management and Comptroller)
Assistant Secretary of the Air Force (Manpower and Reserve Affairs)
Auditor General, Department of the Air Force

Other Defense Organizations

Director, Defense Commissary Agency
Director, Defense Finance and Accounting Service
Director, Defense Logistics Agency
Director, Department of Defense Education Activity
Director, Washington Headquarters Services
Chief, National Guard Bureau

Non-Defense Federal Organization

Office of Management and Budget

Congressional Committees and Subcommittees, Chairman and Ranking Minority Member

Senate Committee on Appropriations
Senate Subcommittee on Defense, Committee on Appropriations
Senate Committee on Armed Services
Senate Committee on Governmental Affairs
House Committee on Appropriations
House Subcommittee on Defense, Committee on Appropriations
House Committee on Armed Services
House Committee on Government Reform
House Subcommittee on Government Efficiency and Financial Management, Committee on Government Reform
House Subcommittee on National Security, Emerging Threats, and International Relations, Committee on Government Reform
House Subcommittee on Technology, Information Policy, Intergovernmental Relations, and the Census, Committee on Government Reform

Deputy Under Secretary of Defense (Civilian Personnel Policy) Comments



PERSONNEL AND
READINESS

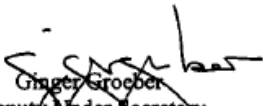
OFFICE OF THE UNDER SECRETARY OF DEFENSE
4000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-4000

28 MAY 2003

MEMORANDUM FOR DEPARTMENT OF DEFENSE OFFICE OF THE
INSPECTOR GENERAL, DIRECTOR, READINESS AND
LOGISTICS DIRECTORATE

Subject: Report on Modern Defense Civilian Personnel Data System Functionality and
User Satisfaction (Project No. D2001LF-0142.001)

We appreciate the opportunity to provide our comments on the referenced draft
report (comments attached). If you have any questions, the point of contact is Ms. Cheryl
Fuller at 703-696-1982.


Ginger Groeber
Deputy Under Secretary
Civilian Personnel Policy

Attachment:
As stated

**COMMENTS ON
THE DOD INSPECTOR GENERAL DRAFT REPORT: MODERN DEFENSE
CIVILIAN PERSONNEL DATA SYSTEM FUNCTIONALITY AND USER
SATISFACTION (PROJECT NO. D2001LF-0142.001)**

I. GENERAL COMMENTS

I-A. Use of "Modern" Designation (Page 1)

Comment: CPMS no longer uses the prefix "modern" when describing DCPDS. When DCPDS achieved full operational capability in September, 2002, the legacy system was decommissioned. In a memo dated October 21, 2002, regarding the system upgrade to Oracle 11i, the Principal Deputy Under Secretary of Defense (Personnel & Readiness) stated that the prefix "modern" will no longer be used.

I-B. System Design (Page 4):

"...the system must support a wide range of civilian personnel, including National Guard personnel, teachers, lawyers, and merchant marines."

Comment: The system supports Civilian Mariners (vice merchant marines) who work for the Department of Navy Military Sealift Command.

I-C. Upgrading the System (Page 4):

"CPMS plans to deploy the upgraded system in May 2003."

Comment: This statement refers to the software upgrade of the Oracle Federal HR application, which will be upgraded to the new Oracle release, Oracle 11i. This is more accurately described as an upgrade, rather than a deployment. The system has already been deployed; the 11i migration is an upgrade of the existing system.

Also, the date for the Oracle 11i upgrade has been shifted to July, 2003 (from May) due to the workload associated with the processing of the retroactive 1% locality pay adjustment. The effect of the retroactive pay action required the re-processing of most pay adjustments for DoD civilian employees, as well as corrections to pay-related actions processed since the January effective date. This caused a heavy workload burden on the field HR offices, which affected their ability to prepare for the software upgrade. The delay was specifically requested by several Components, and approved by the Principal Deputy Under Secretary of Defense (Personnel & Readiness).

I-D. CATS (Page 5):

"The National Guard Bureau indicated it has to define its requirements as well as handle security access and training issues. The Defense Logistics Agency indicated that an access security issue needs to be resolved before CATS can be implemented."

Comment: The security access issues referenced by NGB and DLA are internal issues related to specific users who will be given access to EEO complaints data, and are not system-related.

Revised

I-E. Resumix (Page 6):

"Of the six Components using Resumix, three (the Air Force, the Defense Finance and Accounting Service, and the Defense Logistics Agency) enhanced the module's capability with their own unique software."

Comment: The Component-unique changes to the standard DCPDS applications cited in the report were not approved or authorized, and represent deviations from existing DoD policy regarding HR automated systems. However, CPMS is pursuing DoD-wide enhancements to the Resumix application to support Delegated Examining Units and improved automated case file archiving. This is being worked through the Systems Innovation Subcommittee (SIS) of the DCPDS Change Control Board. The SIS is reviewing existing solutions that Components have implemented for DoD-wide implementation.

I-F. Navy Nonstandard Applications (Page 8):

"Four of the eight enhancements (being pursued by Navy) streamline the use of Resumix."

Comment: Navy is no longer pursuing the Resumix enhancements cited in this report.

Revised

I-G. System Workarounds (Page 11):

"The number of workarounds had been further reduced to 81 (related to 113 problem reports assigned to Lockheed Martin) by early February 2003."

Comment: The updated number of severity level 3 problem reports (problems that have workarounds) as of May 2003 is 25. The total number of problem reports is currently 33.

I-H. Software Patches (Page 13):

“The patch was not properly tested.”

Comment: The report offers no specific information to support this statement. All software patches go through rigorous functional testing before being fielded. Patch testing is a shared responsibility between CPMS and the Components, who each have designated testers responsible for functional testing of code releases prior to fielding to production.

I-I. Administering Training Requirements (Page 15):

“CPMS is working with Oracle to upgrade OTA to better meet user needs.”

Comments: CPMS has found that the shortfalls attributed to the DCPDS training application are often a reflection of non-standard business processes among Components. However, in addition to working with Oracle, CPMS has re-established the OTA Working Group, made up of Component and CPMS representatives familiar with OTA and the training function in general. The purpose of this group is to identify and propose any basic improvements in the OTA application. The group met on May 14 to receive a demonstration of the Oracle 11i version of OTA, and to discuss the group’s approach.

II. COMMENTS ON REPORT FINDINGS (Pages 3-22)

II-A. DoDIG Finding:

DoD achieved standardization for basic civilian personnel processing and reduced its HR personnel staffing levels by implementing regionalization and modernizing its systems. However, the Components did not fully use the capabilities of modern DCPDS and added or planned to add nonstandard applications to the system to support Component business practices.

Comment: Concur

II-B. DoDIG Finding:

The Components had to perform numerous workarounds and received frequent software patches to make modern DCPDS work.

Comment: Concur

Throughout the deployment of DCPDS, as is expected with any IT system of similar breadth and scope, problems and issues were identified with various aspects of the application during the roll-out.

II-C. DoDIG Finding:

The nonstandard applications were developed and workarounds and software patches were needed because modern DCPDS was deployed before it could efficiently perform all the functions specified in its ORD.

Comment: Non-concur

We disagree with the assertion that DCPDS was deployed before it was functional. In fact, the independent Qualification Operational Testing and Evaluation (QOT&E) report, dated March 2000, prepared by the Air Force Test and Evaluation Command (AFOTEC), concluded that the system was "operationally suitable," and advised that further deployment was warranted. The issues identified in the report were addressed by CPMS as deployment proceeded.

II-D. DoDIG Finding:

CPMS did not have clear authority to require the Components to use all modern DCPDS modules and did not have clear authority to manage the development and implementation of nonstandard applications.

Comment: Non-concur

We disagree with this finding. The Under Secretary of Defense (Personnel & Readiness) (USD(P&R)) policy memo of October 17, 2001, "Civilian Human Resources Automation Initiatives and Support Structure in the DoD," assigned CPMS responsibility for reviewing and approving Component automation initiatives, and specifically stated that the DCPDS suite of applications constituted the approved DoD enterprise civilian HR information system. Lack of adherence to the policies of the USD(P&R) should not be construed as lack of authority.

II-E. DoDIG Finding:

As a result of the inadequacies in modern DCPDS, the actions taken by the Components to overcome those inadequacies, and the resistance of the Components to modify their business practices to accommodate the new system, DoD did not fully achieve its desired

goals for system standardization and for increased performance efficiencies through the implementation of modern DCPDS.

Comment: Non-concur

We disagree with the characterization of the system as “inadequate,” and further disagree that the system “inadequacies” precipitated the actions of the Components to invest in nonstandard HR applications, contrary to policy and regulation. In our view, Component resistance to standard DoD HR business processes, supported by standard automated systems, gave rise to the difficulties in achieving system standardization.

III. COMMENTS ON REPORT RECOMMENDATIONS (Pages 23-24)

III-A. DoDIG Recommendation:

1. We recommend that the Under Secretary of Defense for Personnel and Readiness develop and issue policy that, at a minimum:

a. Defines the roles and responsibilities of the Civilian Personnel Management Service and the Components in system implementation, ongoing design, and training for all modules in the modern Defense Civilian Personnel Data System suite.

b. Acknowledges the charters for the various boards and subcommittees supporting system software and hardware upgrades and enhancements.

c. Requires the review of nonstandard applications be completed in a timely manner and that the Components be notified quickly of review results.

Comment: Concur

We agree that a formal policy and procedural framework should be established to address and resolve issues surrounding the DoD enterprise civilian HR automated system. We would point out, however, that the governance structure for the civilian HR community under the direction of the USD(P&R) has been in place for several years, and that overarching policy and authority with regard to HR automated systems has been present. The October 17, 2001 policy memo, “Civilian Human Resources Automation Initiatives and Support Structure in the DoD,” signed by the USD(P&R), provides evidence of that structure, whether Components rejected or accepted it. In addition, the DoD Civilian HR Strategic Plan identifies DCPDS as the enterprise civilian HR automated system for the Department. Also, the DoD Business Enterprise Architecture (BEA), developed under

the DoD Business Management Modernization Program (BMMP), recognizes DCPDS as the civilian HR system for the DoD enterprise, and identifies the USD(P&R) as the "Domain Owner" for HR systems across the Department for governance and oversight.

To formalize the policy framework governing civilian HR automated systems in the Department, CPMS has drafted a subchapter to the DoD Directive 1400.25M Civilian Personnel Manual (CPM). This draft subchapter provides policies and procedures related to development and implementation of civilian HR information systems in the Department and addresses all aspects of the IG recommendations.

III-B. DoDIG Recommendation:

2. We recommend that the Director, Civilian Personnel Management Service:

a. Develop a systems improvement plan that, at a minimum, includes:

(1) A schedule, developed in coordination with the Components, for correcting documented software problems and ensuring required functionality is incorporated into all the modules in the modern Defense Civilian Personnel Data System suite in a timely manner.

(2) A plan of action for the timely review, approval, and incorporation of desired enhancements into the system, including Component nonstandard applications approved by the Change Control Board to become part of the system.

(3) A survey of users, including regional service center and customer support unit personnel, and managers who initiate actions to determine the level of satisfaction with the system and document any recommendations for improvements for considerations by the Change Control Board.

Comment: Non-concur

We disagree that a separate, formal systems improvement plan is necessary. CPMS and its Component customers already have reliable, established mechanisms for identifying, prioritizing, and resolving software problems through the Remedy problem report tracking system. There are established procedures for reporting and tracking software problems, and CPMS regularly reports status of problems to Component representatives. In addition, the DCPDS operation, sustainment, and maintenance contract includes specific service level metrics (problem report ceilings, repair schedules, and financial incentives) with regard to problem reports and system changes. CPMS is taking steps to address issues and concerns raised by Components regarding DCPDS functionality. For example, to address Component concerns on the Oracle Training Administration (OTA)

application, CPMS has re-established the OTA Working Group, and is working with Oracle Corporation to communicate customer requirements and desired enhancements to the software developers.

The DCPDS Change Control Board, with its formal charter and standard operating procedures, provides the forum and the procedures for proposing, prioritizing, and approving enhancements to DCPDS. The Systems Innovation Subcommittee (SIS) was established to deal specifically with the incorporation of Component nonstandard applications into the DCPDS suite. This process has already produced positive results, with the approval of a DoD Electronic Official Personnel Folder. The SIS is also near completion on proposed DoD-wide enhancements to the Resumix staffing tool that will improve the recruitment process. These processes are recognized in the recently drafted subchapter to the DoDD 1400.25M Civilian Personnel Manual.

CPMS conducted a user satisfaction survey in March and April as part of the DCPDS Post Implementation Review (PIR), required under acquisition procedures. The survey was targeted to all DCPDS users, including personnelists at regional service centers and customer support units, as well as managers and administrative personnel who use the system. The web-based survey produced 4,350 responses, with questions focused on determining how well the system is meeting the needs of DoD users. The results will be used to identify areas of greatest concern to users, in order to assist CPMS in focusing improvement and enhancement efforts. CPMS will incorporate periodic user surveys into its overall DCPDS program management approach.

III-C. DoDIG Recommendation:

2. We recommend that the Director, Civilian Personnel Management Service:

a. Define the capabilities that are included in the modern Defense Civilian Personnel Data System suite.

Comment: Concur

CPMS has included these definitions in the new subchapter of the DoDD 1400.25M Civilian Personnel Manual that addresses civilian HR automated systems.

IV. COMMENTS ON APPENDIX A – Management Control Program Review (Page 26)

DoDIG Statement:

We identified a material management control weakness in the CPMS oversight of modern DCPDS, as defined by DoD Instruction 5010.40. CPMS did not ensure that the system met user needs or functioned properly prior to deployment, which resulted in the deployment of a system that did not fully satisfy ORD requirements, necessitating the use of nonstandard applications by the Components.

Comment: We disagree that such a weakness exists. The issues encountered during the development and deployment of DCPDS were not due to a lack of management controls or sufficient management oversight for the program. There are strong and effective CPMS internal controls, as well as policy and programmatic oversight exercised by the USD(P&R), through the Deputy Under Secretary of Defense (Civilian Personnel Policy) and the Deputy Under Secretary of Defense (Program Integration). In addition, the DCPDS program underwent extensive external oversight throughout the acquisition process, including the Major Automated Information System Review Committee (MAISRC).

Department of the Army Comments



REPLY TO
THE ATTENTION OF

DEPARTMENT OF THE ARMY
OFFICE OF THE DEPUTY CHIEF OF STAFF G-1
200 STOVALL STREET
ALEXANDRIA VA 22332
25 April 2003



MEMORANDUM THRU U.S. ARMY AUDIT AGENCY, LIASON & FOLLOW-UP
BRANCH, POLICY, OVERSIGHT & AUDIT SUPPORT
DIVISION, PENTAGON, ROOM 2B139

MEMORANDUM FOR INSPECTOR GENERAL, DEPARTMENT OF DEFENSE
ATTN: MS. BETSY BRILLIANT, MR. MICHAEL JOSEPH

SUBJECT: Report on Modern Defense Civilian Personnel Data System
(DCPDS) Functionality and User Satisfaction (Project Number:
D2001LF-0142.001)

We have completed a review of the subject report and concur with the recommendations made in the report and believe that the recommendations are constructive. We also offer the following comments:

- a. All of the Army applications currently in use or planned for use by the Army have been approved by the Civilian Personnel Management Service (CPMS), are in the process of being approved by CPMS and/or the Army has submitted for consideration by the CPMS Systems Innovation Subcommittee (SIS).
- b. While it is true DCPDS did not contain all the functionality desired at deployment and that numerous system workarounds had to be developed and used to compensate for DCPDS's shortfalls, Army believes good progress has been made to reduce the number of workarounds.
- c. Army is pleased that the DODIG finds the Civilian Personnel Operations Center Management Agency's web site of workarounds to be beneficial to other Components. Army continues to develop and share practical applications across DoD to include Oracle 11-i screen cams.
- d. DCPDS functionality has improved but is still not fully satisfactory in some areas that impact operations. For example, there is no mass correction capability that now requires individual actions to be processed.

CPMS, with support of the Components, have accomplished its mission to regionalize and modernize the DoD civilian personnel community. While there were the noted initial transition problems and some missing functionality/system inefficiencies that are still being worked, a great deal has indeed been accomplished. We are not aware of any other career field/function within the

-2-

e. Federal government that has been transformed so totally while still largely maintaining operational stability and progress.

Since the DCPDS was first fielded there has been much concern of the systems' missing functionality. However, since the system was deployed, Army's average fill time is down significantly (77.47 days for FY 98 to 57.67 days for FY 02) which means we are filling jobs faster, more Army jobs have been filled, and Army's ratio of filled to vacant civilian positions is the best it has been in many years.

We appreciate the opportunity to offer these comments.

FOR THE DEPUTY CHIEF OF STAFF, G-1:


Michael L. Vajda
Acting, Director of Civilian
Personnel Management

Department of the Navy Comments



DEPARTMENT OF THE NAVY
OFFICE OF CIVILIAN HUMAN RESOURCES
NEBRASKA AVENUE COMPLEX
321 SOMERS COURT NW SUITE 40103
WASHINGTON, DC 20393-5441

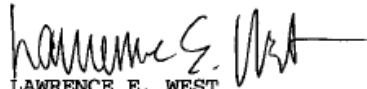
12273
Ser 00D/164-03
MAY 21 2003

MEMORANDUM FOR INSPECTOR GENERAL, DEPARTMENT OF DEFENSE

Subj: DRAFT AUDIT REPORT ON "MODERN DEFENSE CIVILIAN
PERSONNEL DATA SYSTEM FUNCTIONALITY AND USER
SATISFACTION (1LF-0142)

Encl: (1) Department of the Navy comments

Thank you for the opportunity to review the subject document. Our comments on this draft report are provided as enclosure (1). If there are questions concerning that enclosure, they should be directed to Mr. James Ellis of my staff. He can be reached at 202-764-0727.


LAWRENCE E. WEST
Director, Operations &
Systems Department

**Modern Defense Civilian Personnel Data System User Satisfaction and
Functionality
Project No. D2001LE-0142.001**

- **Page 1, Para. 3.** Comment/Change: Modern DCPDS provides transition-processing services for approximately 730,000 civilian employees.
- **Page 4, Para. 3.** Comment/Change: However, the capabilities of Modern DCPDS did not meet Component requirements to support the business practices.
- **Page 5, Chart** Comment/Change: COREDOC is used within the Navy in a very limited basis. (See footnote 2.)
- **Page 6, Para. 2.** Comment/Change: COREDOC is used in a very limited basis in DON.
- **Page 8, Para. 5.** Comment/Change: Of the two applications that provide for functionality considered inadequate in modern DCPDS, one is used instead of CATS for processing equal employment opportunity complaints and the other is used instead of OTA to support training management.

Question: What applications are used?

- **Page 9, Para. 2.** Comment/Change: CPMS has not adequately addressed total requirements for OTA.
- **Page 15 & 16 Para. 5.** Comment/Change: Additionally, the Navy Office of Civilian Human Resources studied the OTA module and issued the results of the study in it's "Report on Functionality Testing of the Oracle Training Administration Module at the Human Resources Centers," February 25, 2002. The Navy testing was conducted at six of its seven regional services from December 3, 2001, to February 8, 2002, to determine whether and how OTA contributed to improve program outcomes and processes. The report results were provided to CPMS in June 2002. The Navy reports states that OTA did not sufficiently support business processes, meet necessary functionality requirements, or contribute to improved organizational performance. Additionally, the report states that a greater level of effort was required using OTA than alternative methods, including as much as 229 percent more time than if the processing was completed manually. The Navy concluded that OTA substantially slowed the processing of training actions and that OTA had not reached the level of maturity necessary to meet basic training and employee development functions. The report states that OTA, as designed, should not be implemented. CPMS is working with Oracle to upgrade OTA to better meet user needs.
(The above paragraph wasn't reflected on pages 6,8 & 9)

- **Page 20, Para 2** Comment/Change: Use memoranda instead of memorandums.

Revised

Revised

Revised
Page 15

Page 19

ADDITIONAL COMMENTS:

CPMS hasn't fully met nor understood the unique requirements of DON mandated NMCI program.

The NMCI program provides unique challenges for DCPDS interoperability and ongoing maintenance.

DON has completed and submitted to CPMS a gap analysis regarding OTA functionality analysis.

DON has coordinated an operational team to address the OTA functionality issues.

Department of the Air Force Comments



DEPARTMENT OF THE AIR FORCE
HEADQUARTERS UNITED STATES AIR FORCE
WASHINGTON, DC

19 MAY 2003

MEMORANDUM FOR ASSISTANT INSPECTOR GENERAL FOR AUDITING
OFFICE OF THE INSPECTOR GENERAL
DEPARTMENT OF DEFENSE

FROM: AETD
THOMAS A. DODD

SUBJECT: Draft Report on Modern Defense Civilian Personnel Data System Functionality and User Satisfaction, March 20, 2003 (Project No. D2001LF-0142.001)

This is in reply to your memorandum requesting the Assistant Secretary of the Air Force (Financial Management and Comptroller) to provide Air Force comments on subject report.

We have reviewed the subject report and concur with the findings. Each recommendation is addressed below.

Report Recommendation:

1. We recommend that the Under Secretary of Defense for Personnel and Readiness develop and issue policy that, at a minimum:

- a. Defines the roles and responsibilities of the Civilian Personnel Management Service and the Components in system implementation, ongoing design, oversight, and training for all modules in the modern Defense Civilian Personnel Data System suite.
- b. Acknowledges the charters for the various boards and subcommittees supporting system software and hardware upgrades and enhancements.
- c. Requires that the review of nonstandard applications be completed in a timely manner and that the Components be notified quickly of review results.

Air Force Comment:

Concur. Issuance of such a policy would be beneficial provided, however, that the Components are given the opportunity for substantive input with regard to defining roles and responsibilities and with regard to procedures and timelines for review of nonstandard applications. Review of nonstandard applications should include a plan to incorporate the functionality of these applications into the modern Defense Civilian Personnel Data System and should also be used as a tool to help identify enhancements or upgrades that are needed to address deficiencies.

Report Recommendation:

2. We recommend that the Director, Civilian Personnel Management Service:

a. Develop a systems improvement plan that, as a minimum includes:

(1) A schedule, developed in coordination with the Components, for correcting documented software problems and ensuring required functionality is incorporated into all the modules in the modern Defense Civilian Personnel Data System suite in a timely manner.

(2) A plan of action for the timely review, approval and incorporation of desired enhancements into the system, including Component nonstandard applications approved by the Change Control Board to become part of the system.

(3) A survey of users, including regional service center and customer support unit personnel, and managers who initiate actions to determine the level of satisfaction with the system and document any recommendations for improvements for consideration by the Change Control Board.

b. Define the capabilities that are included in the modern Defense Civilian Personnel Data System suite.

Air Force Comment:

Concur. A systems improvement plan and definition of the capabilities of the modern Defense Civilian Personnel Data System suite would be welcome provided, however, that the Components are given the opportunity for substantive input in developing and reviewing such a plan of action and in ensuring that system capabilities are appropriately defined. Moreover, an integral part of the systems improvement plan should be an on-going effort to compare emerging human resources technology with current Department of Defense systems and applications.

Report Recommendation:

3. We recommend that the Assistant Secretaries of the Military Departments (Manpower and Reserve Affairs); the Chief, National Guard Bureau; and the Directors of the Defense Commissary Agency, the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services develop organizational plans to:

a. Revise business practices to accommodate the modules in the modern Defense Civilian Personnel Data System suite, after the software problems have been corrected and critical deficiencies have been addressed.

b. Phase out nonstandard applications that are not approved by the Change Control Board.

c. Require all nonstandard applications to be submitted to the Civilian Personnel Management Service for approval prior to development or purchase.

Air Force Comment:

Concur. Once problems and deficiencies are corrected, business practices may be revised where feasible to accommodate modules in the modern Defense Civilian Personnel Data System provided that the modules: (a) fully comply with statutory and regulatory requirements, (b) result in more efficient and effective processes with outcomes of equal or better quality as available under current business processes, and (c) have addressed and resolved systems performance issues in the "standard" applications. As required functionality is provided by the modern module applications, nonstandard applications should be phased out.

If you have any questions or need further assistance, please contact Teresa Magee, 703-601-0452 or e-mail Teresa.Magee@pentagon.af.mil.



ROGER M. BLANCHARD
Assistant Deputy Chief of Staff,
Personnel

National Guard Bureau Comments



DEPARTMENTS OF THE ARMY AND THE AIR FORCE
NATIONAL GUARD BUREAU
1411 JEFFERSON DAVIS HIGHWAY
ARLINGTON, VA 22202-3231

NGB-HRI (690-200)

30 April 2003

MEMORANDUM FOR THE DIRECTOR, READINESS AND LOGISTICS SUPPORT;
DoDIG/AUDIT/RLS; 400 ARMY NAVY DRIVE, ROOM 507, ARLINGTON, VA 22202

SUBJECT: Discussion Draft of Report on Modern DCPDS (HR-03-030)


1. The National Guard has reviewed the draft document and is submitting the following comments:

a. Page 5 (AutoRIF)..... Replace with the following for National Guard: National Guard Bureau officials conducted an evaluation of the AutoRIF module. RIF procedures do not apply since 32 USC 709 excludes National Guard technicians from the provisions of 5 USC 3502-Order of Retention and 5 USC 2108-Veteran's Preference. Based on specialized Title 32 requirements, the absence of any significant workforce reduction(s), and the determination that users would be required to manually input data to enable the system to produce/process RIF actions, the National Guard Bureau determined implementation of the module at this time would be impractical. However if, in the future, such non-standard modifications can be made to meet NG needs; the application may be reassessed.

b. Page 6 (Resumix)..... Separate National Guard statement in sentence "two" and replace with the following: The National Guard Bureau did not use the module because it did not meet their business practices or functional requirements for recruiting and hiring Guard personnel based on the specialized requirements for Title 32 that would necessitate customized programming and its associated cost. The National Guard's long-range recruitment planning for the Military Technician Program includes a shift to more closely align the recruitment, rating and ranking to the military aspects of the Guard Technician Program; using the Military Occupational Structure or Air Force Specialty Code for required skills.

c. Page 9 (Under National Guard)..... The National Guard concurred on the EOPF application. This application is considered to be a nonstandard application. If CPMS is implementing this application DoD-wide why refer to this application as nonstandard.

2. Questions may be directed to Joan Oliver at DSN 327-5420 or COMM (703) 607-5420.


STEPHEN P. STINE
Chief, Office of Human Resources

Defense Commissary Agency Comments



REPLY TO
ATTENTION OF:

DEFENSE COMMISSARY AGENCY
HEADQUARTERS
1000 E AVENUE
FORT LEE, VIRGINIA 23801-1800

IGA

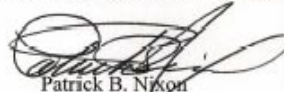
MAY 16 2003

MEMORANDUM FOR INSPECTOR GENERAL, READINESS AND LOGISTICS SUPPORT
DIRECTORATE, 400 ARMY NAVY DRIVE, ARLINGTON, VA
22202-2885

SUBJECT: Report on Modern Defense Civilian Personnel Data System Functionality and User
Satisfaction (Project No. D2001LF-0142.001)

Reference: Memorandum, DoDIG, March 20, 2003, SAB

Attached is the DeCA reply to recommendation 3 provided in subject report. If you have
any questions, please contact Mr. Russell Zimmerman at (804) 734-8103.


Patrick B. Nixon
Deputy Director

Attachment:
As stated

DEFENSE COMMISSARY AGENCY REPLY

SUBJECT: Report on Modern Defense Civilian Personnel Data System Functionality and User Satisfaction (Project No. D2001LF-0142.001)

RECOMMENDATION 3. We recommend that the Assistant Secretaries of the Military Departments (Manpower and Reserve Affairs); the Chief, National Guard Bureau; and the Directors of the Defense Commissary Agency, the Defense Finance and Accounting Service, the Defense Logistics Agency, the Department of Defense Education Activity, and Washington Headquarters Services develop organizational plans to:

- a. Revise business practices to accommodate the modules in the modern Defense Civilian Personnel Data System suite, after the software problems have been corrected and critical deficiencies have been added.
- b. Phase out nonstandard applications that are not approved by the Change Control Board.
- c. Require all nonstandard applications to be submitted to the Civilian Personnel Management Service for approval prior to development or purchase.

DeCA Reply. Concur.

- a. DeCA will revise business practices to accommodate the modules in the modern Defense Civilian Personnel Data System suite, after the software problems have been corrected and critical deficiencies have been addressed on an ongoing basis. DeCA is planning to deploy limited use of the Oracle Training Administration (OTA) in June 2003.
- b. As this report reflects, DeCA does not have any nonstandard applications. Therefore, this recommendation is not applicable to DeCA.
- c. DeCA will submit all nonstandard applications to the Civilian Personnel Management Service for approval prior to development or purchase on an as needed basis.

Revised

Defense Logistics Agency Comments



DEFENSE LOGISTICS AGENCY
HEADQUARTERS
8725 JOHN J. KINGMAN ROAD
FORT BELVOIR, VIRGINIA 22060-6221

MAY 19 2003


IN REPLY
REFER TO
J-14

MEMORANDUM FOR DIRECTOR, READINESS AND LOGISTICS SUPPORT
DIRECTORATE, INSPECTOR GENERAL

SUBJECT: Report on Modern Defense Civilian Personnel Data System Functionality
and User Satisfaction (Project No. D2001LF-0142.001)

As requested by your memorandum dated March 20, 2003, subject as above, the Defense Logistics Agency reviewed and concurs with the finding of the draft report.

My point of contact for this action is Ms. Gail Carter. She can be reached at
(703) 767-6401, or DSN 427-6401


KATHRYN A. ROBERTS
Staff Director
HR Policy and Information
Human Resources

Federal Recycling Program



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Department of Defense Education Activity Comments



DEPARTMENT OF DEFENSE
EDUCATION ACTIVITY
4040 NORTH FAIRFAX DRIVE
ARLINGTON, VIRGINIA 22203-1635

MAY 19 2003

MEMORANDUM FOR DIRECTOR, READINESS AND LOGISTICS SUPPORT
DIRECTORATE, DEPARTMENT OF DEFENSE INSPECTOR
GENERAL

SUBJECT: Report on Modern Defense Civilian Personnel Data System Functionality
and User Satisfaction (Project No. D2001LF-0142.001)

Attached are the consolidated Department of Defense Education Activity comments to the above reference DoDIG report on the Defense Civilian Personnel Data System (DCPDS). The response includes a section on general comments, as well as a section on specific comments to the draft report. In the specific comments, when changes to the wording are proposed, they are presented in italics to identify what word would actually change under the recommendation.

My point of contact on this project is Mr. Brad Carver, Chief Functional Automation and Information Management Section. Should you have any questions, comments or concerns, please contact him at (703) 696-3000, extension 1620.

A handwritten signature in cursive script, reading "Irma P. Finocchiaro".

Irma P. Finocchiaro
Acting Associate Director for Management

Attachment:
As stated



DODEA Comments on the Draft DoDIG Report on Customer Satisfaction

General Comments:

1. DoDEA has unique servicing requirements that are not like any other 4th Estate Agency, and for the most part not like any of the Military Departments. DoDEA services educators, both overseas and in the continental United States. The serviced population is made up of Title 5 USC employees, Title 10 USC employees and Title 20 USC employees. When the modern Defense Civilian Personnel Data System (DCPDS) was originally developed, tested, and fielded, the primary focus was on Title 5 USC requirements. Only late in the development and fielding cycle did any real attention begin to be focused on those Components or agencies who serviced other types of records, and as such, the system did not always meet our needs. The DoDIG reports that Components failed to change their business rules to use the functionality in the software, but given the legal requirements governing DoDEA employees, DoDEA could not change its business processes to fully use the functionality in the suite of applications known as DCPDS.
2. DoDEA was not regionalized under DMRD 974, which regionalized the rest of the Department. DoDEA was instead consolidated under DMRD 973. Prior to that time, DoDEA employees were serviced by either the Army, Navy, Air Force, or Washington Headquarters Services under a variety of Interservice Support Agreements. Each servicing Component and even each servicing Personnel Office under these agreements would apply DoDEA policy differently, causing a number of problems providing grounds for grievances through the various teacher unions representing DoD teachers at that time. Consolidation not only provided for economies of scale, but also allowed for a uniform application of processes that for the first time were administered equitably across the board for DoDEA Employees.
3. DoDEA is a full service personnel center, covering all aspects that are needed to hire and retain teachers in both the U.S. and overseas locations. As such, some of the work performed by the Personnel Center was not considered personnel work in the DoDIG report. However, the fact remains that DoDEA personnelists perform this work as part of their regular duties, and DoDEA has had to develop applications that help us keep up with the heavy workload associated with these actions. If DoDIG does not consider this personnel work, then some adjustment should be made in the servicing ratio to discount the workyears associated with these functions, and the unique applications used to support these functions should not be listed in the report.
4. In the DoDIG draft report, reference is made to the Integrated Database (IDB) application used by DoDEA. Comments indicate that both CPMS and DoDIG consider the application at least partially duplicative of DCPDS. However, DoDEA does not agree that IDB is duplicative. Each summer, DoDEA hires a large number of teachers, both in the U.S. and overseas. Associated with these actions are vacancies associated created through teacher transfers and promotions. There are

many intricacies associated with hiring educators, especially those moving overseas, to ensure that adequate staff is on hand for the start of school, and to ensure that all new hires get a paycheck that first pay period, which usually ends a few days after the start of school. There are many actions other than the SF-52, such as travel orders, passports, and allowances, and would probably not be considered by DoDIG in this study, however the Personnel Center must track all such actions. There was no one system that would enable us to track all these actions, prepare the pertinent reports, and complete so many actions in such a short time frame, therefore, IDB was implemented. Where possible, it pulls data from DCPDS, but again, it tracks more than just SF-52 information.

5. It should be noted that the CPMS charter for the Change Control Board allows the Components to fund approved SCRs that might not be high enough on the list to be designated for development for that particular quarter. This, in essence, gives the Components a vehicle to fund some unique applications, as some of the Components have done, especially concerning interfaces to the modern DCPDS.

Specific Comments:

1. Page i, Executive Summary, Results: Workarounds and patches are normal in software development, and software often is deployed with known bugs (even by Microsoft). Granted the number of patches may have been high, but given the nature of the department and the serviced population, they probably still fell in the normal range.
2. Page 1, Background, Second Paragraph: The first sentence should read: "...there are *currently* five modules..." DCPDS was always advertised to be an open architecture that would allow modules to be plugged and unplugged as needed to support the department. The DoD-wide Electronic OPF (EOPF) application may now constitute a 6th module.
3. Page 1, Background, Modern Defense Civilian Personnel Data System, Second Paragraph: Not all the modules currently apply to all Agencies given the unique nature of certain Agencies and the out-of-the box functionality of the modules.
4. Page 1, Background, HR Regionalization: DoDEA had previously centralized under DMRD 973 and should not be considered under this regionalization section.
5. Page 3, Modern DCPDS Functionality and Performance: While it is given that the modern DCPDS had a large number of patches and workarounds initially, it should be noted that there were also patches and workarounds in the legacy DCPDS, and often those patches required subsequent patches to fix something that was broken by the patch.

6. Page 3, Modern DCPDS Functionality and Performance: The assessment of the requirements from the Operational Requirements Document (ORD) is not fair. CPMS developed several versions of the ORD, including the last one that was used to evaluate the application. Each time, someone on the Major Automated Information Systems Review Council (MAISRC) would send it back for changes. Finally, the MAISRC asked CPMS to have the Air Force Operational Test and Evaluation Center (AFOTEC) advise in the development of the document, and they directed the final format, only to later admit that they didn't approve of the format and the individual who directed that format had left the activity. Still, the document consisted of a number of requirements, (all of which did not have to pass to be a successful development effort), and four specific Key Performance Parameters that had to be met.
7. Page 3, Modern DCPDS, Systems Design, First Paragraph: A relational database is more than just a tool to avoid entering data more than one time. A relational database also splits the data into a number of related tables, making processing more efficient than a flat file such as the legacy DCPDS. The legacy DCPDS consisted of one data file that was 5000 characters long. Even if all characters were not needed, the space was still used. In the latter years, a second record for each person was created and combined to support the need for tracking additional data, making the system outlive its efficiency. This definition should be updated to reflect the benefits of a relational database over a flat file database.
8. Page 4, Upgrading the System: It should be noted that Oracle stopped promoting a lot of their code changes to the current client server version and instead started focusing on the next upgrade and then ultimately the 11i version, which was the preferred upgrade path for CPMS and the department. But CPMS had to wait for that version to stabilize, so instead they continued development and fielding of the current version. Once deployment began, the course was plain that development must continue due to difference in platform requirements both at the field level and the corporate level between the two versions. The upgrade to 11i must take place at the same time for everyone. There are many long awaited features that will be in 11i when it is deployed this summer that would never be delivered in the current version.
9. Page 4, Component Use of Modern DCPDS, First paragraph: The wording should be changed to read "However, the Components *either* did not fully use *or could not fully use* the capabilities of the modern DCPDS..." which reflects the unique requirements of certain Components that could not be changed just to use the system as is.
10. Page 5, Table 1, DoDEA AutoRIF: While we agree with the NO and the footnote, it should be understood that DoDEA has experimented with AutoRIF and preliminary tests indicate, in the event we need to run a RIF, we could use the software to supplement our efforts. The same holds true in the next paragraph on AutoRIF below the table. Before committing to using the software, however, DoDEA would need to further evaluate the software, using it in a live situation instead of the simulated situations to date.

Revised

Revised

11. Page 6, COREDOC: The majority of positions that DoDEA services are educators, and fall under the 1701 series, which is not found in our COREDOC access. Even if it were, it would not benefit DoDEA as teachers are not classified based on the duties in a job description, but based on their education and experience. They are prequalified for the positions based on their certification levels, as evaluated by the DoDEA HR office, which must run its own Teacher Certification Program. The workyears spent on this Certification effort should also be deducted from the servicing ratio when comparing DoDEA with other defense agencies.
12. Page 6, Resumix: When DoD purchased the initial set of licenses for the defense Components they did not purchase any for DoDEA, nor did they initially make any effort to have Resumix modified to support educator recruitment. As such, DoDEA needed to find an alternative to Resumix. CPMS has yet to produce any documentation to demonstrate the Federal version of Resumix can support DoD teacher recruitment activities.
13. Page 6, Use of Nonstandard Applications: It should be noted that early in the process CPMS did not have the resources to either develop all the applications or monitor the Component development. During the modern DCPDS development most of their resources were utilized to ensure the development of the core DCPDS was accomplished as quickly as possible to replace the dying legacy system.
14. Page 10, Applications in Use, Last Sentence: The report states that there are two Resumix-like applications for teachers. What are the two applications – we know one is EAS, but are not sure what DoDIG is considering for the second application.
15. Page 10, Planned Applications, Paragraph One: Web-enabling the Teacher Transfer Program should not be considered a new application, but merely an upgrade to an existing application.
16. Page 10, Planned Applications, Second Paragraph, First Sentence: DoDEA strongly disagrees that IDB is duplicative of functionality in DCPDS. DoDEA would gladly give the DoDIG a demonstration on the application and answer any questions that might clear up this misconception.
17. Page 10, Planned Applications, Second Paragraph, Second Sentence: DoDEA again disagrees that the teacher ranking and rating system duplicates Resumix, and again reminds the DoDIG that when CPMS purchased licenses for all DoD Components for Resumix, DoDEA was excluded from that central buy.
18. Page 10, Planned Applications, Second Paragraph, Last Sentence: DoDEA's EOPF application should no longer be considered Component Unique now that DoD has adopted that application as the standard for all of DoD.

19. Page 11, System Workarounds, First Paragraph: It should be stated that workarounds go hand in hand with patches. Problems are found, workarounds, (if available) are identified, patches are implemented, and workarounds cease to be needed. That is part of the normal cycle of development.
20. Page 11, System Workarounds, Second Paragraph: CPMS should not be blamed for Components allowing users to continue to use workarounds once the system has been patched.
21. Page 11, System Workarounds, Second Paragraph, Last Sentence: This is misleading. A large number of workarounds does not always indicate a system is not working properly, but often is a sign that the system in question, like DCPDS, is very complex.
22. Page 11, Workarounds and the Problem Reporting Process: It should be noted that the timeframes for each severity level only correspond to Lockheed Martin involvement, not Oracle. Once the problem is identified for Oracle to work, the clock stops ticking for Lockheed Martin.
23. Page 11, footnote 11: It should be noted that sometimes problem reports are submitted and worked by CPMS and Lockheed Martin that turn out to be Oracle software issues, and nothing can be done by Lockheed Martin short of taking control of the Oracle proprietary software.
24. Page 11, footnote 12: Oracle problems that can not be handled by Lockheed Martin may still be required one or more workarounds be found and publicized prior to a fix by Oracle. This is critical at times as Lockheed Martin generally turns around high-level problem reports quickly, while Oracle my never turn around a problem report.
25. Page 12, Component Issues Regarding Workarounds: This paragraph should also state that sometimes the workarounds are very cumbersome, lowering the appeal and practical value of specific workarounds.
26. Page 13, Software Patches, First Paragraph: While 133 patches sounds like a lot in two years, it should be stated that deployment was continuing during this time period, and many patches were unique to the activity being deployed. Also, the fact that some patches broke parts of the application is also evidence that not all Components test all patches, especially if the patch states that it affects only one or two Components.
27. Page 13, Software Patches, Seventh Bullet: Most of the time it is the Components' fault for not properly testing software patches.
28. Page 13, Software Patches, Eighth Bullet: In addition to training, changes resulting from patches may result in advisories, which are used more often by DoDEA than training.

Footnote 14

Footnote 15

29. Page 13, Footnote 16: For DoDEA, who uses a thin client solution (CITRIX) the patch process is greatly simplified, as we only load the patch on a few servers that make up the CITRIX server farm. Other Components use the fat client, and must load all client patches to all workstations accessing the system, and will benefit more from that aspect of Ili than will DoDEA.
30. Page 14, Modern DCPDS Functionality, First Paragraph: Again, this should reference that the ORD contained only four Key Performance Parameters, and overall, not all requirements had to be met prior to deployment, per the guidelines set by the oversight organizations.
31. Page 14, Modern DCPDS Functionality, Second Paragraph: Again, it should be noted that the ORD was developed based on requirements set by the MAISRC and under the guidance of AFOTEC to meet their specifications.
32. Page 14, Processing Mass Personnel Actions, Last Paragraph: It should be stated that the process described to update particular data elements for many records was very dangerous, and often did not include any edits. This would allow for many records to be corrupted if not done properly, and may have resulted in much more work (not to mention impeding regular action processing) to fix the problems. When DoDEA inherited the serviced records from the military departments, there were several places in the data that had been corrupted this way and had to be fixed prior to processing personnel actions.
33. Page 15, Administering Training Requirements, First Paragraph: It should be noted that the legacy system did not have any automated training tracking system on the level of OTA, and many of the requirements that are listed as "missing" may never have been placed in the ORD.
34. Page 15, Generating Reports: DoDEA does not agree with the reported increase in time to generate reports under modern DCPDS.
35. Page 16, Sufficiency of Software Applications, First Bullet: Currently you can batch print a single record (all actions) but not a group of different records. The Components have been advised that such functionality would not be delivered prior to the Ili upgrade.
36. Page 16, Sufficiency of Software Applications, Second Bullet: While the legacy DCPDS did offer this process, it often led to incorrect data being pasted into actions. Still, today under modern DCPDS, the data could be pasted into a word document and then each box individually cut and pasted into the form for each action one was attempting, though most people would feel they could type the input (or select the data from a pull down menu) just as quickly.

37. Page 17, First Partial Paragraph: Changing data this way in the legacy system often compromised data integrity. The controls in the modern DCPDS are designed to protect data integrity.
38. Page 17, First Bullet, Mass Routing: This functionality was not in the legacy system, but was included in what was known as the Interim System, or PPI Suite, which worked with the legacy system. This functionality is scheduled to be included in 11i, though it may not initially be in the system when we upgrade this summer.
39. Page 18, Component Business Practices, First Paragraph: The first sentence should be modified to read "The Components often did not *or could not* modify their business practices."
40. Page 18, Component Business Practices, First Paragraph: It should be noted that DoDEA was centralized under DMRD 973 and not covered by DMRD 974 which regionalized the rest of the department.
41. Page 21, Second Complete Paragraph: This sentence should address the fact that CPMS recently activated the Systems Innovation Subcommittee to the CCB in order to facilitate such activities as EOPF, and control the amount of future unique applications being developed for single agencies.
42. Page 22, Table 3: We are not sure where the DoDIG got the numbers, but DoDEA's numbers fluctuate and September 30 of any year is not an accurate depiction of our ratio. With the start of school each year during August, DoDEA is still hiring staff at the end of September. Also, the numbers do not reflect the number of Pseudo Appointments DoDEA processes. These are appointments when one person holds two or more positions, and the amount of work involved is such that it is really like servicing two employees instead of one, but CPMS and DMDC always discount our Pseudo Appointments. Also, the number of HR staff in the chart does not reflect any deduction for the workload that the DoDIG stated in this report is not typical of an HR operation.
43. Page 23, Recommendations: Under the first recommendation, for the Under Secretary of Defense, it should include a line that states the Under Secretary should secure adequate funding to accomplish the work that will follow if this recommendation is implemented.
44. Page 24, paragraph A: This may not be completely doable. Some degree of accommodating unique features, such as all the rules surrounding teachers, is required.
45. Page 25, Methodology, First Paragraph: The DoDIG did not spend any time with DoDEA observing the performance of our HR specialist or the unique applications we have developed. Any opinions expressed concerning DoDEA in this draft report may be inaccurate if they are based on observations gathered at other Components.

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46. Page 25, Methodology, Third Paragraph: Did the DoDIG use information provided by DoDEA, or did CPMS or DMDC provide the DoDEA numbers?

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47. Page 26, Last Paragraph, Adequacy of Management Controls: Any discussion of the ORD should include a discussion on Key Performance Parameters and the guidelines given CPMS for successful evaluation by AFOTEC on behalf of the MAISRC. This draft report does not include such a discussion.

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Revised

48. Page 29, Request for Change, First Paragraph: There are other reasons for initiation of a patch than something requested by any of the Components. Some patches flow down from Oracle, others are based on monitoring by Lockheed Martin, and some are generated for security reasons. This paragraph is misleading and may not give proper credit to scheduled patches.

Washington Headquarters Services Comments

Final Report
Reference



DEPARTMENT OF DEFENSE
WASHINGTON HEADQUARTERS SERVICES
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WASHINGTON, DC 20301-1155



MAY 20 2003

MEMORANDUM FOR INSPECTOR GENERAL, DEPARTMENT OF DEFENSE
(ATTENTION: DIRECTOR, READINESS AND LOGISTICS
SUPPORT)

SUBJECT: Report on Modern Defense Civilian Personnel Data System Functionality
and User Satisfaction (Project No. D2001LF-0142.001)

Reference: DoDIG Memorandum of March 20, 2003, same subject


In response to your request, the Washington Headquarters Services (WHS) staff has reviewed the subject draft report. The Modern DCPDS system was fully deployed at WHS in August 2001. As noted in the report, our HR staff continues to work DCPDS functionality issues. WHS continues to be involved in DoD workgroups such as Electronic OPF and Resumix enhancements, and is a voting member of the Change Control Board and the Systems Innovation Subcommittee.

The following comments are offered for consideration as you prepare the final report.

Page 10, Planned Applications. Last line states "two of the Defense organizations use an EOPF application, which may be duplicative of applications under development by other Components." Recommend this line be changed to reflect that a DoD-wide EOPF application is under development based on SIS recommendation and CCB approval of a DoD solution. CPMS is working with a contractor and component representatives to implement the application.

Page 24, Recommendations, Paragraph 3.a., Line 3. Recommend that this line be changed to read: "...corrected and critical deficiencies have been addressed."

Thank you for the opportunity to review and provide comment. If you have any questions, please contact Hedy Kuemmel at (703) 617-7092.


Raymond F. DuBois
Director



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Revised
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